NAVY PUBLIC W
MANAGEME

Although the words "he", "him", and "his", are used sparingly in this manual to enhance communication, they are not intended to be gender driven nor to affront or discriminate against anyone reading *Navy Public Works Management*, NAVEDTRA 10893-C.

PREFACE

Navy Public Works Management, NAVEDTRA 10893-C, *Public Works Manual*, CECOS 101/72 (revised September 19 title, number, and preface. The work is that of several authors the knowledge and experience collected by the staff of the Corps Officers School (CECOS) and the personnel of Head Facilities Engineering Command (NAVFAC), the Engineering and Public Works Organizations. It was chosen by the Naval Training Program Development Center to serve as the basic te Officer Correspondence Course, Navy Public Works NAVEDTRA 10741-B.

The manual provides the fundamentals or general prin public works management, and introduces the Civil Enginee officer to the various functions performed by a Navy Organization. Serving as the Officer in Public Works (PWC officer applies these principles in managing a Public Works Public Works Leading Activity, or a Public Works Center. Hov should not assume that the practice of Navy public works ma exact science. Instead, it is a practice that involves interpretir procedures and programs to suit local conditions or new legisl PWO can profit from the advice and tips given here and le should and should not be done.

Although the purpose of *Navy Public Works Managemen* the manual does not stand as the only means of keeping the of public works matters. Policies established at higher levels to the PWO through official directives and instructions issue other commands, bureaus, and offices that interact and share for each public works function. Pertinent directives and i

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The United States Navy is responsible for main
sea and is a ready force on watch at home and
strong action to preserve the peace or of instar
win in war.

It is upon the maintenance of this control that c
future depends; the United States Navy exists to

WE SERVE WITH HON

Tradition, valor, and victory are the Navy's herit
these may be added dedication, discipline,
watchwords of the present and the future.

At home or on distant stations we serve with p
respect of our country, our shipmates, and our f

Our responsibilities sober us; our adversities stre

Service to God and Country is our special pri
honor.

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Scope of Public Works. The Naval Shore establishment exists to support the operati for the shore establishment is a multi-million dollar annual enterprise. At each of tl establishment, the tasks which constitute this "housekeeping" or public works f vacuuming the floors and washing the windows. Some idea of the scope of Navy Pu one considers that the Navy represents one of the largest businesses in the undertakings, its activities cannot be confined to the production of a single item or a of a single service or a series of related services. Each Naval activity can be acc comprising not only the "factory;" in our case the airfield, shipyard, or training facil it — the houses, roads and streets, utilities, the hospital, the recreation facilities, an a community.

The management of these facilities involves not one or two, but all aspects of tl The management responsibility placed upon the CEC officer serving in the capaci policies are established at higher levels and transmitted to him through official di form his operating parameters, but they alone cannot predict or solve all the proble duties. Directives and instructions lay down the broad outlines for procedures a contribution of the PWO and his staff.

The Need for Sound Management. There are several conditions which necessitat establishment. These are:

A. Facilities Growth. The Navy's shore establishment was subjected to tremen many World War II bases have since been closed, the remaining bases continue t systems required to support their increasingly complex missions. In spite of post-K spending back, it would appear that to maintain a viable defense posture in con facilities and their support will not materially slacken, and will very likely increase.

B. Age and Condition of Facilities. Much of our facility inventory was con semi-permanent or temporary nature, never intended to economically serve the Nav replacement dollars have not kept pace with replacement requirements. The probl instances by the fact that buildings have been converted from their original pur invariably places higher demands on the facility in terms of human comfort, util upkeep. The net result of all this, of course, is that the Navy is saddled with many and maintenance effort for their functional pay back.

C. Increasing Demands. Due to continuous increases in technology, there is a r today than there was thirty years ago. Consider elecric appliances alone. This utilities, and also to the fact that today's tenant requires a higher quality of working 1940's. The drab cubicle office will no longer suffice in today's Navy, where re Barracks alone have gone through revolutionary conceptual changes in the past ten

Thus, the practice of Public Works Management offers both challenge and oppo who is willing to apply himself to the task.

Objectives of Public Works Management. There are two primary objectives namely:

(1) To provide the requisite service or facilities support to the fleet, and

(2) To optimize the outputs of Public Works with what resources are availa

The first objective is pursued in each functional area through the identification c plans based upon rational priorities.

The second goal is pursued through the efficient use of available assets (manpow to provide maximum productive effort. Just how this is achieved in each system will

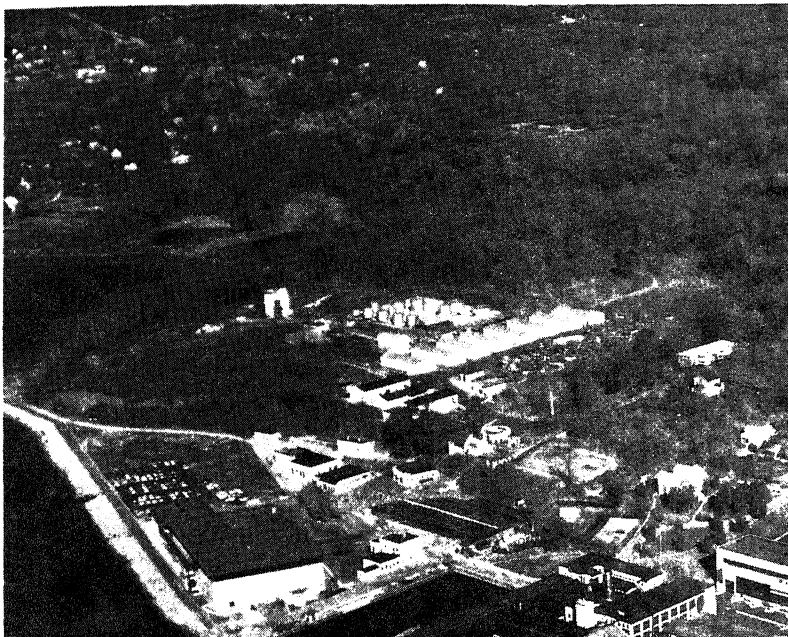
Management Principles. All Public Works Management systems are founde general process, or principle is that management involves the laying out of plans uniform standards and predictable capabilities; the utilization of these plans as a cor productive forces can operate; and the gathering and analysis of actual performance highlight variances and enable corrective action as necessary for the next cycle. Th cycle of management, and is common to all PW management systems. The gatherin managers to act on a rational, directed basis, rather than by intuition or whimsey. norm. Hence the term "exception managers" is applicable to those who practice Publi

This abstract will become clearer with study of this manual, and with on-the-job the system achieves the two primary objectives when utilized properly. This is not t perfect and cannot be improved upon. The most valuable resource which the inventiveness of its professional officers and civilian personnel. It is a commodity needed most, than ever before, and from it will evolve better methods, procedures, from each taxpayer's dollar.

CHAPTER 1
AUTHORITIES AND RESPONSIBIL

The diverse functions and responsibilities assigned by command to the P separately managed programs which come together only at the station level. which only converge again at the CNO level. For the Officer in Public Work each of his various functional responsiblities and understanding their resp effectively.

The approach in this chapter and succeeding ones will be to focus on each f show, for each, the various agencies and organizations who interact and share function.



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REFERENCES

1. *Navy Regulations*, Chapters 4 and 7
2. *General Order No. 19*, 20 October 1964, Basic Navy Directive which defines Command, Coordination
3. *OPNAVINST 5400.24*, 29 December 1964, Implements and expands upon General Order No.
4. NAVFAC P-318, *Organization and Functions for Public Works Department*

PART 1 — THE PUBLIC WORKS OFFICER AND COMMAND

1.1.1 The Commanding Officer. At the onset of this discussion it should be pointed out that Navy Regulations hold the Commanding Officer responsible for the material condition of his facility. The measures which the Commanding Officer deems necessary to guard this trust is a matter of accountability between him and the Chief of Naval Operations through his operational chain of command. The Public Works Officer on his staff is normally delegated the authority and is held responsible by command for all matters pertaining to Public Works management. With this relationship established, let us now examine which agencies and organizations are designated by CNO and Navy Regulations to assist the PWO in carrying out his duties for the Commanding Officer.

1.1.2 The Responsibilities of the Public Works Officer

A. **Primary Duties** — The PWO, as stated above, is held accountable by his Commanding Officer for all facilities management matters. These responsibilities normally include the broad functions of:

1. Facilities Planning and Programming.
2. Real Estate Management.
3. Facility Design and Construction.
4. Facilities Maintenance, Repair, Minor Construction, Alteration, and Equipment Installation.
5. Utilities System Operation and Maintenance.
6. Facility Disposal.
7. Transportation Fleet Management Operation and Maintenance.
8. Housing Administration.

Each major function is usually broken down into subfunctions which relate to the particular characteristics of that function, such as Utilities Service Contracts or utilities production. Cutting across all of these functions are various basic managerial techniques, such as Personnel Management,

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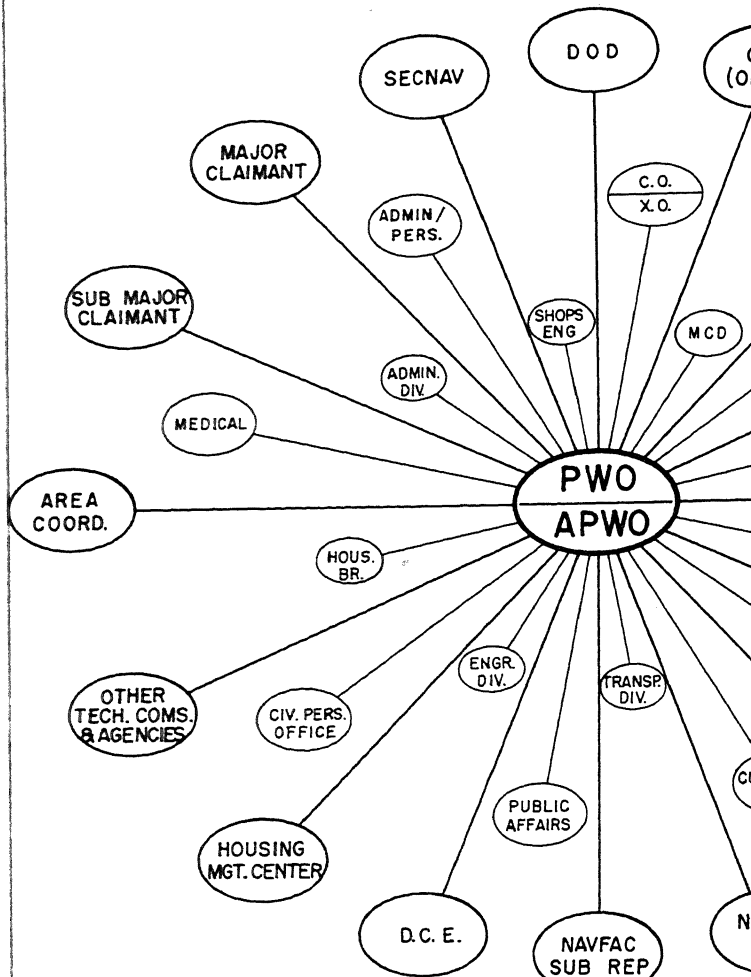
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PWO
APWO
AREA COORD.
HOUS. BR.
ENGR. DIV.
TRANSP. DIV.
OTHER TECH. COMS. & AGENCIES
CIV. PERS. OFFICE
PUBLIC AFFAIRS
HOUSING MGT. CENTER
D.C.E.
NAVFAC SUB REP

scheduling of utilities (boiler operations, etc.) is vested with the Utilities Division or Branch and vehicle maintenance, and operations planning is vested with the Transportation Division or Branch.

1.2.4 Engineering. The Engineering Division is the professional staff of the PWO. He, for example, will rely on his engineering organization to provide design and engineering beyond the capability of a planner and estimator. This would normally be for new construction or alteration, extensive repairs, or any job for which alternate or complicated technical solutions are not readily available to the planner/estimator. The Engineering Division is additionally responsible for input into the Shore Facilities Planning and Programming Cycle, Record Drawings, and other engineering/design functions.

1.2.5 Administration. The PWO looks to his Administrative Division to carry out a multitude of overhead functions which lend common support to other parts of his organization and provide necessary liaison between the Public Works Department and other Departments. He (the PWO) normally delegates the responsibility of providing office services, and mailing and filing to the Administrative Division Director. This type of task falls naturally into a separate organization and relieves the other divisions of the necessity to duplicate the capability for each of their organizations. In addition, the Administrative Division Director generally *coordinates* the preparation and submission of reports and budgets. The word "coordinates" is emphasized here because the responsibility for both reports and budgeting begins at the accomplishment level and is shared by just about everyone in the Department as well as the Comptroller. The Administrative Division Director is the "catalyst."

1.2.6 Housing Administration. The PWO is delegated the authority to administer family housing by the Commanding Officer who, in this one case, receives his authority from OSD and CNO by way of NAVFAC and the EFD's. The Housing Manager, either in the Administrative Division, or

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The second point of friction between the Public Works Department and the Supply Department involves stocking of items in the shops store which the Supply Department operates. The quantity and type of material stocked in a shops store is a function of usage or turnover. In addition, the shops store can stock one-time items or emergency items if they are justified. To establish and maintain appropriate stocking levels, the Supply Department shops store supervisor must be kept informed about new requirements, inadequacies, and quality of stocks carried in inventory.

Of paramount importance, of course, is making sure that Public Works personnel who are responsible for ordering material are well versed in supply procedures, stock catalogues, etc., so that they can function effectively and thereby keep the Supply/Public Works relationship viable.

The Supply Officer also plays a role in transportation management since he and not the PWO is responsible for the overall management of materials handling equipment.

1.3.3 The Comptroller. The station comptroller plays a key role in Public Works budgeting and reporting in addition to his primary duty as custodian of the Commanding Officer's money. The principal financial reports required by higher authority are prepared by the Comptroller. As a matter of fact, the instructions for preparation of these reports are found in the NAVCOMPT Manual — not in NAVFAC publications or sponsor operating manuals. The timeliness and accuracy of the source data with which the Comptroller produces these reports is dependent upon correct input from Public Works.

As budgeter for the Commanding Officer, the Comptroller receives cost account input from Public Works, along with all other departments (Cost Centers) on the base. This he converts into a consolidated Functional Account Budget. He, and not the PWO, is accountable to the Commanding Officer for the legal expenditure of funds and to this end keeps the

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for reporting mileage of assigned vehicles on a quarterly basis to the PWO. The utilities customer (who is everyone) is responsible for implementing prudent conservation practices, much as they would were they footing the bill themselves. In addition, there is normally a formal energy conservation committee established on a base, consisting of customers and related Public Works Personnel. Its job is to effect cost reduction in utilities by identifying and eliminating waste in all types of utilities services (see Chapter 7).

1.3.8 The Community. We have listed the "community" as a participant in Public Works Management for the principal reason that the Navy is usually a part of a larger community or urban area and is increasingly subject to the statutes which regulate other industrial or business activities in that community. Pollution laws, building codes, nuisance laws, traffic regulations, planning ordnances and civil laws all impact on the Naval activity, and particularly in the Public Works arena. The PWO should avoid the "island" aberration which effects so many of us in the Navy, and should view what he does — the decisions that he and the command implement within the context of the broader community.

PART 4 — OFF STATION AUTHORITIES AND RESPONSIBILITIES

1.4.1 General. As indicated in Figure 1-2, there are many off-station participants who get involved to a varying degree with a Public Works Department operation. A brief explanation of the general authorities and responsibilities of each will help in deciding who to turn to with a given problem or request.

The functions of the off-station participants shown in Figure 1-2 can better be envisioned by first rearranging these into the three basic chains of command which affect facilities matters at most Naval activities and explaining, in general terms, the concept and purpose of each chain of command. Figure 1-3 shows an operational chain of command which leads from CNO to the activity through the "Major

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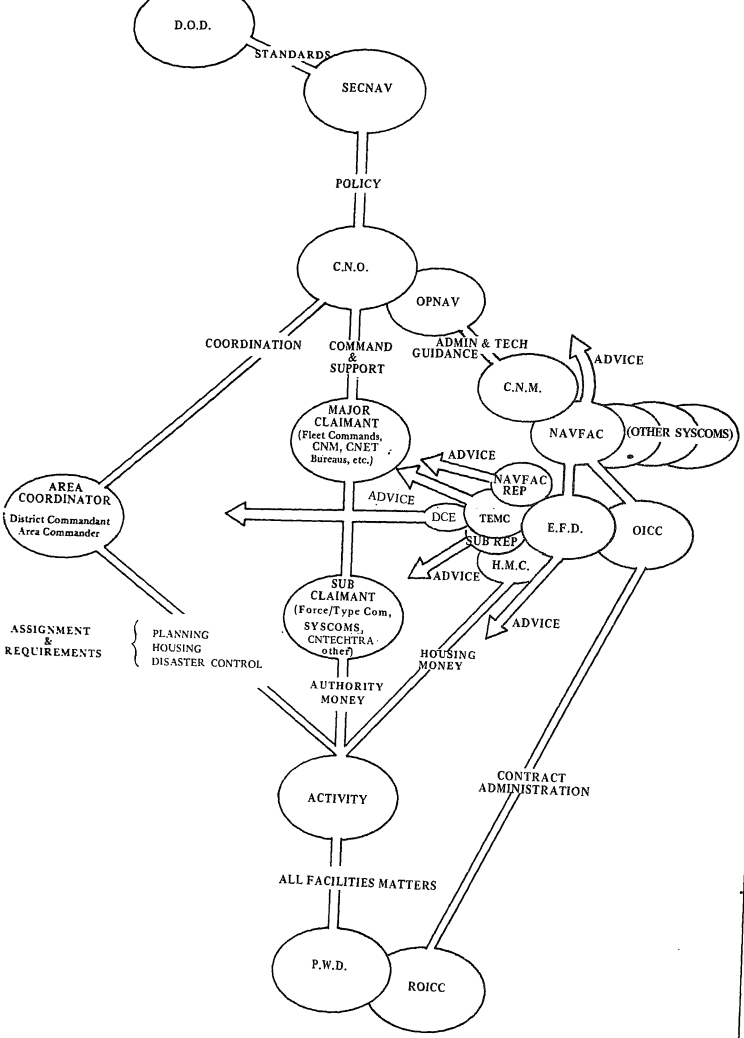

FIGURE 1-3
CHAINS OF COMMAND FOR

appropriate. This means very frankly that the PWO must execute the unpleasant but vital task of telling command what it is prohibited from doing. These limitations will be pointed out specifically in subsequent chapters dealing with particular functional areas.

One limit of the Commanding Officer's authority which frequently is a source of special frustration for the Commanding Officer and PWO is the amount the Commanding Officer can spend on projects for minor construction, alteration, and repair. There are two limitations which work in this area: (1) the amount of money which the Commanding Officer can approve for expenditure for a single project (refer to Chapter 5), and (2) the percentage of his O&M budget which he is permitted by his claimant to spend on minor construction. A third limitation is the amount of money he can approve for expenditure for housing improvements governed by NAVFAC. In each of these instances, the limitations are often viewed as an inconvenience or worse by command. Other limitations on command with regard to Public Works matters relate to the type of work that he can authorize, the use of transportation equipment and facilities, and the amount of money which he is required to spend annually on maintenance called the "Maintenance Floor" (see Chapter 13).

The Public Works Officer, as previously stated, must be intimately familiar with the limitations on the Commanding Officer and must place himself in harms way by informing command of his limits. As well, however, the PWO should seek means of accommodating command desires within the rules. In any case, he should remember that he serves as a staff to the command and is subject to its decisions.

1.5.1 Summary. It can be seen that the PWO has a host of agencies whose job it is to help him carry out his assigned duties. On station, the role of the Supply Officer, Comptroller and others are as essential to his success as is his own Department. Off station, the majority of authority and control over the station is vested with the Claimant or operational chain of command acting with the advice of the advisor NAVFAC chain and modified by certain coordinating responsibilities of the "Area Coordinator" (usually the District Commandant), the authority of the Housing Management Center, and the OICC chain of command for contract administration.

evolutionary product of many years of experience gained by many in facilities management. The evolution will continue, but hopefully, lessons already learned will not have to be relearned. The structure described herein is a skeleton, the muscle necessary to energize it must be provided by the managerial team, which is led by the Public Works Officer.

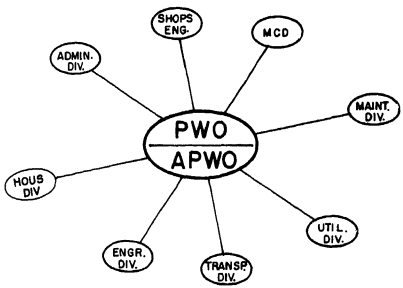

FIGURE 2-1
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3. SECNAVINST 5310.11 Series, Subj: *Navy Position Management Program*
4. OPNAVINST 11010.30, Subj: *Formal Designation and Assignment of Responsibilities for Public Works Lead Activities (PWLAs); procedures for*
5. MARINE CORPS ORDER P11000.7
6. OPNAVNOTE 5450 of 16 October 1969, Subj: *"Staff Civil Engineer/Activity Civil Engineer Functional Statements and Assignment Policies in Complexes Served by Public Works Centers"*

2.1.1 Introduction. The nature of the work accomplished by Public Works Organizations (i.e., engineering, maintenance, utilities, transportation, etc.) allows a functionally aligned organizational pattern. These functions are performed by several types of Public Works organizations.

The primary purpose of Public Works is to provide service in support of the mission of the activity. In some instances, however, it has been found desirable for the PWD of one activity to provide public works services to another activity, or activities, which are in close proximity. In this situation the public works organization is identified as a "Public Works Lead Activity" even though it retains its identity as an organizational component of the parent activity. In other instances the public works functions are performed by a command separate from any of the supported activities. Such a command is called a Public Works Center (PWC). The distinction between the types of public works organizations is indicated in the following:

A. Public Works Department. A PWD is an organizational component of a Marine Corps Air Station or a Naval Shore Activity. As a department head, under the Commanding Officer of the activity, the Public Works Officer is responsible for the maintenance and operation of facilities and collateral equipment, including utility plants and operation of transportation and weight-handling equipment; and design engineering and facility planning, for the command. (Figure 2-2 shows a typical Public Works Office.)

B. Public Works Lead Activity (PWLA). Like a PWD, the PWLA is an organizational entity of a Naval Shore Activity and the Public Works Officer has essentially the same responsibility as his counterpart in a PWD. However, the PWO of a PWLA is also responsible for providing public works services to more than one activity even though the PWO has primary duty orders only to the activity of which the PWLA is an organizational component. The scope of public works services provided by a PWLA may encompass a portion, or a full range, or public works services and will normally be provided on a reimbursable basis as determined by local agreement. Only large public works departments are considered capable of functioning as a PWLA. PWLAs are specifically designated as such in OPNAVINST 11010.30. All Public Works Lead Activities are referred to as "Public Works Departments" of their parent command.

C. Public Works Center (PWC). PWC's have been established in areas which have a congregation of many Naval Activities all requiring Public Works support. Unlike the PWD or PWLA, a PWC is a separate activity, commanded by a Civil Engineer Corps Captain, which provides the full range of Public Works services to customer commands on a fully reimbursable basis.

The public works operation, viewed as a function is further subdivided into elements consisting of identification of requirements, development of a plan, execution of the plan, and appraisal and adjustment of the plan required to achieve the desired goals. Like any program, the public works operation must be expressed in terms of resources required to fulfill the program; and an organization, established on a functional basis for the effective application of resources. These basis elements will be found in *most* Public Works organizations regardless of the particular type:

1. Management
2. Administration
3. Family Housing
4. Engineering
5. Maintenance Control

c. Utilities

It is because these elements are common to all public works organizations that, for the most part, only the PWD will be described in this volume. The reader should, however, recognize the commonalty of functions and make the appropriate adjustments to fit his particular organization.

2.1.2 Staffing the Public Works Department. It is not possible to provide a single organization schematic that can be applied without modification to all the approximately 220 public works organizations of the naval shore establishment. It is recognized that public works organizations vary greatly as to size, and consequently cannot conform to a single configuration. The size of the organization depends on the type and amount of work to be done, the amount of plant to be maintained, number of utilities to be provided, and the transportation services to be provided. There are no two Navy activities that are exactly alike in plant mix, population served, or scope of public works services required. Each factor will have some degree of influence on the organizational pattern of the public works organization.

A. CEC Officer Staffing

1. As a starting or reference point, the organizational chart for the largest Public Works Department is shown in Figure 2-3. This is the "Module 1" Public Works Department. It has proven to be a workable and effective organization at large activities. Scaled down versions (different size modules) work at smaller activities equally well.

The factors considered in determining the CEC staffing of different Public Works Department consist of the following:

Number of people employed by PWD (volume of service contracting is considered)
Amount of facilities management funds
Current plant replacement value

Other considerations include:

OICC/ROICC responsibilities of PWO
Rank structure of station
Complexity of activity
Tempo of activity operations
Geographical location
Dispersion of activity
Age of plant
Makes or buys utilities

Using these criteria, six different Public Works Department military staffing modules have been identified. (See Figure 2-4.) The six modules are applied to these alternative organizations shown in Figures 2-5 and 2-6. Note that as the organizations become smaller, some of the divisions are combined.

2. For example, a Public Works Department with 1,000 employees, a $15 million Facilities Management Budget and a curent plant replacement value of $400 M would get an index factor (see Figure 2-4) of 10 for each, or a total index of 30 points. This would place this Public Works Department in Module No. 1 and it would be staffed as follows:

APWO	CDR with previous Public Works experience.
Shops Engineer	LT with no previous experience requirement.
Facilities Planning Officer	ENS with no previous experience requirement.
Utility Plant Engineer	ENS with no previous experience requirement.

In like manner every Public Works Department can be evaluated and assigned to one of six modules. There is no rigid line of demarcation between modules, however, as all factors must be taken into account.

Military Billet Allowances for the Naval Activity are published annually by CNO in a Manpower Authorization Document, OPNAV Form 1000/2.

B. CEC Officer Billets

1. The Office of the Public Works Officer. The Public Works Officer is a department head, and his primary function is an executive one. He is responsible for ensuring the facilities at his command are in a state satisfactory to the operating forces, and consistent with the activity mission. For this, he is responsible to the Commanding Officer (through the Executive Officer).

The Assistant Public Works Officer is responsible for the day-to-day operation and condition of the department; serves as Acting Public Works Officer in his absence; and may act as the Housing Officer.

2. Activity Civil Engineer (ACE)/Activity Liaison Officer (ALO). The ACE/ALO serves as the principal liaison between a Public Works Center or a Public Works Lead Activity and other activities which receive public works support from the PWC/PWLA. For those activities, the Activity Civil Engineer/Activity Liaison Officer:

a. Provides technical assistance in Public Works matters.

b. Coordinates Public Works services provided.

c. Assists in preparation of activity Public Works budgets, special projects, MCON projects.

d. Checks and approves Public Works billings to activities served.

e. Assists activities in Facility Planning Program.

f. Assists activities in Utilities Conservation Program.

g. Prepares customer activity correspondence in Public Works matters.

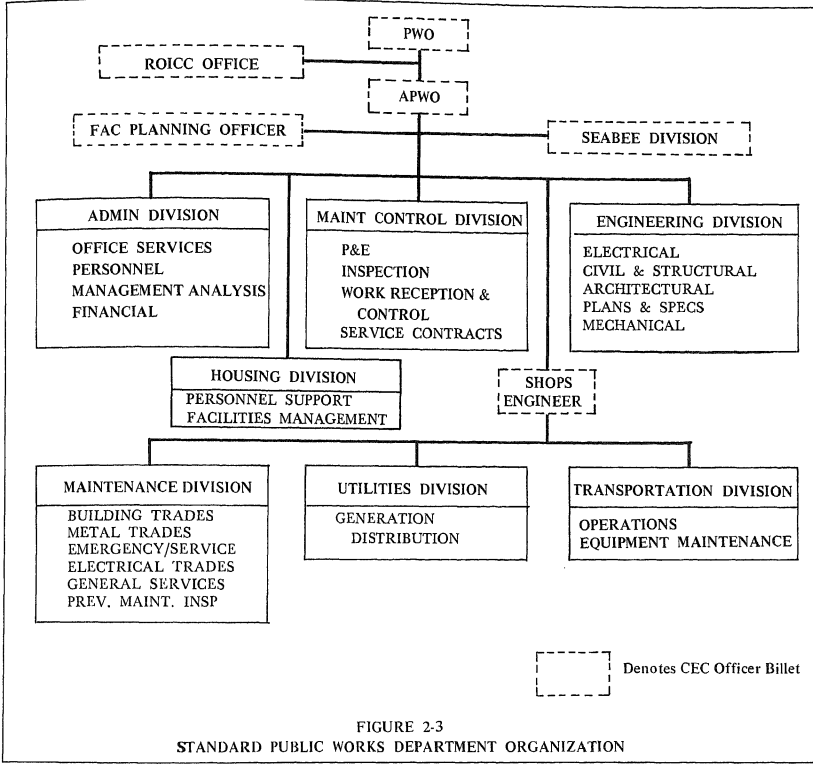


FIGURE 2-3
STANDARD PUBLIC WORKS DEPARTMENT ORGANIZATION

h. Inspects Public Works work for satisfaction of customer requirement.

Further explanation of the role of the ACE at the PWC may be found in the PWC Addendum to this manual.

3. Staff Civil Engineer (SCE).

a. The term Staff Civil Engineer as used here refers to a CEC officer assigned to an activity served by a PWLA or a PWC. It should be noted that the same term is used to describe CEC officers on the "Staff" of major commands. In this latter case, his work consists of advising the command on Facilities matters and allocation of resources for Facilities Construction and Maintenance to the supported activity with additional duty to the PWC or PWLA rather than vice versa. The Staff Civil Engineer is his Commanding Officer's advisor for all facilities matters and should be concerned with the full range of functions as though he were the PWO.

The SCE's functional statement, OPNAV NOTICE 5450 of 16 October 1969, clearly tasks him with the responsibility for guiding and directing his activity's planning and engineering including master plans, Logistic Support Requirements (LSR), Basic Facilities Requirements List (BFRL) and Special Project preparation. There is a need for the SCE to strike a proper balance between day-to-day PW matters and future planning.

Assignment Index Factors

*PW DEPT PERS (NO. OF PERSONS)			INDEX	PUBLIC WORKS FUNDS FOR ACTY (IN THOUSANDS)			INDEX	CURRENT PLANT REPLACEMENT VALUE (CPRV) (MIL $)			INDEX
above	-	700	10	above	-	12,700	10	above	-	350	10
700	-	500	9	12,700	-	11,300	9	350	-	175	9
500	-	400	8	11,300	-	9,900	8	175	-	160	8
400	-	300	7	9,900	-	8,500	7	160	-	135	7
300	-	200	6	8,500	-	7,100	6	135	-	120	6
200	-	150	5	7,100	-	5,600	5	120	-	105	5
150	-	125	4	5,600	-	4,200	4	105	-	90	4
125	-	100	3	4,200	-	2,100	3	90	-	70	3
100	-	80	2	2,100	-	1,050	2	70	-	35	2
80	-	20	1	1,050	-	350	1	35	-	15	1
19	-	0	0	350	-	0	0	15	-	0	0

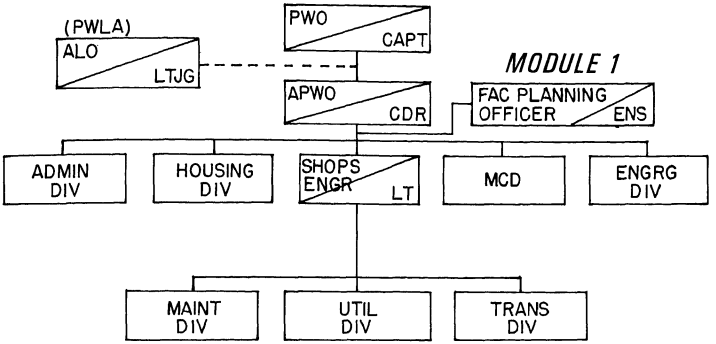
*Enter table with actual number of employees plus an equivalent employee number representing service contracting. Divide annual service contracting amount by $25,000 for equivalent employee number.

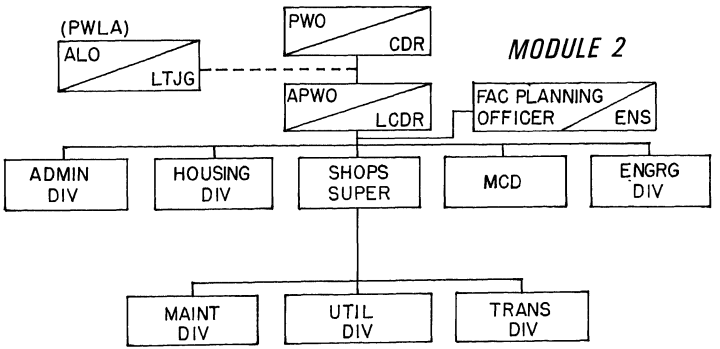
Billets and Structure

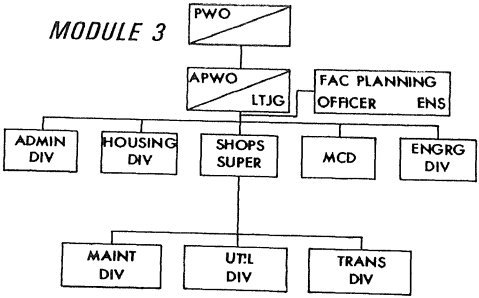
INDEX	MODULE NO.	PWO	APWO	SHOPS ENGR	FAC PLNG OFFICER	UTIL PLANT ENGINEER
30-23	1	CAPT	CDR	LT	ENS	ENS
22-16	2	CDR	LCDR		ENS	
15-11	3	LCDR	LTJG		ENS	
10-5	4	LT				
4-3	5	LT				
2-1	6	LTJG				

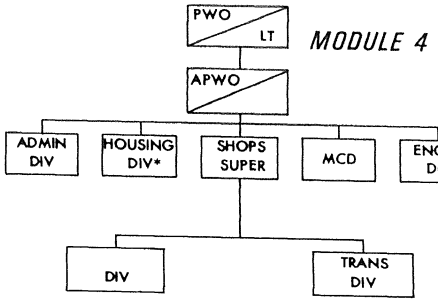
FIGURE 2-4
CEC OFFICER BILLETS IN THE PUBLIC WORKS DEPARTMENT

PUBLIC WORKS DEPARTMENT MODULES

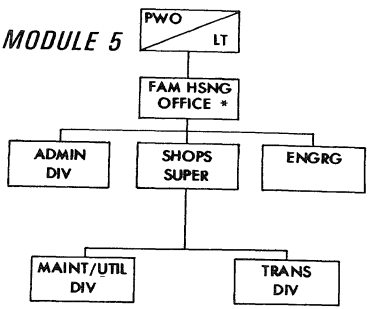


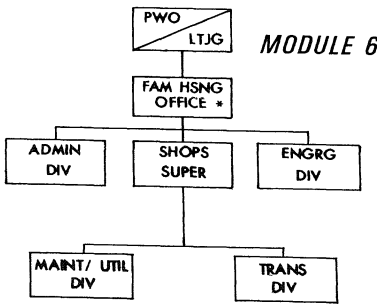






PUBLIC WORKS DEPARTMENT MODULES





* Depending on workload this may be an office staff to the PWO.

FIGURE 2-6

5. **Utilities Plant Engineer.** The Utilities Plant Engineer billet is intended to be used as follows:

a. Implement, coordinate, and maintain an effective Utilities Conservation Program.

b. Survey, review, and recommend action to improve plant efficiency including operational improvements and replacement/repair projects.

c. Coordinate metering, monitoring and reporting requirements.

d. Installation planning for automated energy monitoring and control systems.

The Utilities Plant Engineer billet should be filled with an energetic, highly capable junior officer, preferably with a background in utilities through experience and/or education (electrical or mechanical engineering). The billet should be placed where the Public Works Officer determines it can be used to best advantage. Some prefer it in the Utility Division; others in the Engineering Division. Still others have established the position as an immediate staff assistant to the PWO/APWO.

6. **Facilities Planning Officer.** The Facilities Planning Officer billet will:

a. Give the activity an opportunity to do future planning by providing an added skilled resource. (Future planning has frequently been an under-supported, low priority function.)

b. Provide junior officers with a billet in which they can utilize their engineering education and experience and learn the Navy's Shore Installations Facility Planning and Programming System (SIFPPS). This should provide productive and satisfying jobs for junior officers.

c. Provide the facilities Planning Officer the opportunity to lead by working with the Director, Engineering Division, who in almost all cases, is a senior and knowledgeable professional engineer.

C. **Civilian Employees.** The occupational spread of civilian positions in the department is very broad. They range through at least nine (9) of the nineteen (19) groups identified in the General Schedule (G.S., white collar) of Occupational Groups, and through a host of Federal Wage Board (F.W.S., blue collar) positions.

For instance, many of the positions in the Engineering Division are from the Engineering and Architecture Group (800); many positions in the Administrative Division fall within the General Administrative, Clerical and Office Services Group (300); while in the Operating Divisions, the positions could range from Foreman (W.S.) through many crafts/skills, i.e., Electrician (WG-2805), Boilerplant Operator (WG-5402), etc., as well as several intermediate supervisory levels; General Foreman — Electrician, Foreman — Carpenter, etc. (See Chapter 14.)

employees is directed by the Major Claimants.

Requests for exceptions to these limitations can be made with supporting justification data to the sponsor command/major claimant.

1. **Position Management.** Indirectly related to the business of numerical employment levels is the Navy Position Management Program as described and directed by SECNAVINST 5310.11 (series).

The Commanding Officer of each field activity is responsible for:

a. Assuring that the activity has a position management system that meets the basic criteria specified in enclosure (1), to SECNAVINST 5310.11 and that the system is given continuing attention.

b. Assuring that the line management and staff specialists in his organization are made aware of and carry out their assigned responsibilities for position management.

c. Assuring that work organization and staffing arrangements form a sound and economical organization for the most efficient accomplishment of mission, and directing corrective action when the evaluated results of position management reviews indicate a need for improvement in position or staffing structure.

d. Periodically evaluating the effectiveness of the position management system itself, and directing corrective action where warranted.

e. Assuring that appropriate records are maintained.

One of the principal benefits to be derived from a formalized position management system is the service it provides the line manager. The manager has always had to consider organization structure; the number, types and grades of positions required to accomplish the mission; the employment market; the availability of funds; and how to attract, retain, develop, and advance employees. He has generally been able to call upon a variety of staff specialists to provide him with data and recommendations designed to assist him in making his management decisions. Often, however, they are furnished from different points in time, without full regard for the interrelationships involved.

Position management provides a means whereby all of these aspects may be brought together, at one time and in one place, so that all management levels may make better decisions with the least expenditure of time.

The responsibilities for position management, therefore, are assigned to line management; and as a staff function to specialists trained in management analysis, organizational planning, employment, position classification, employee development, and financial management. The Public Works Officer should become familiar with the work of the Position Management Officer of his activity.

responsible for all matters pertaining to organization, methods, procedures, work flow, work measurement (except shop work methods and techniques), civilian personnel, office services, reproduction, reports, statistics, budget and finance. In addition, when local conditions warrant material purchases by the Public Works Department, this function will normally be performed by the Administrative Division. The position of Director of the Division should be established for an incumbent who has a well-rounded background of education and experience in the field of business or public administration. The functions of this position should be heavily weighed with requirements for the analysis of organization, work flow, personnel utilization, and for the development of financial and budget techniques that constitute valuable management tools.

A. Personnel Branch. The Personnel Branch of the Administrative Division is responsible for matters pertaining to timekeeping and personnel records, and for maintaining liaison with the activity Civilian Personnel Office or the Personnel Officer of the servicing activity. One or two clerks ordinarily will perform all of the necessary work of maintaining the records that the Public Works Officer requires. The Manager of the Personnel Branch normally should rely upon the Civilian Personnel Office or the Personnel Officer of the servicing activity for technical personnel services, and should not duplicate any services which that office is prepared to provide.

B. Office Services Branch. The Office Services Branch is responsible for all matters relating to the procurement and distribution of office supplies, furniture, and office equipment; stenographic and typing pool services; duplicating machine services; messenger services; central files; and other internal services. When the workload in connection with office services requires unitizing, the subordinate Sections listed below may be established:

1. Mail, Files, and Messenger Services.
2. Stenographic Pool Section.
3. Office Supplies and Space Section.
4. Reproduction Section.

C. Financial Branch. The Financial Branch is responsible for developing, coordinating, and presenting budgets; fiscal auditing and accounting matters; compiling, recording, and reporting real property data, and inventorying of public works materials. The Branch will maintain accounting controls on Expense Operating Budgets made to the Public Works Department and shall control, from a financial standpoint, job orders written against such Expense Operating Budgets. This Branch is responsible for providing accounting data for all job orders. It will assure that accounting data on job orders is not only technically accurate but, also, that the work described is properly chargeable to the accounting data cited and that funds are available. These activities should not duplicate activity of the Fiscal Officer. It is possible that the Public Works Departments of larger activities may find it necessary to establish the following Sections within the Financial Branch:

Budget Section
Finance Section
Plant and Material Inventory Section

methods studies; administration of the work measurement program, maintenance of records of all reports required by the Department, including certain reports, required by the Public Works management programs, the due dates of such reports, and information showing compliance with reporting requirements; the accumulation of statistics and the preparation of statistical reports; and charts and graphs as required.

2.2.2 Housing Division

A. Organization. The internal organization of the housing division and the number of positions depends on the extent of assets managed, housing surveys, referral services, and other requirements determined by permanent party strength and complexity of the program and workload. Where assets or workload do not require the establishment of a full-time position, the functions may be performed on a collateral or part-time basis, however, the overall management responsibilities will remain unfragmented and assigned to the PWO. A detailed description of family housing functions, organization, and staffing criteria is included in Chapter 4, NAVFAC P-352, *Housing Administration.*

When the Public Works Officer is Housing Officer, the duties of the Housing Division Director will include preparation of recommendations on the numerical housing requirements, on utilization of housing facilities, and the means of meeting deficiencies; the preparation of recommended regulations and procedures in regard to applications; eligibility, and/or assignment to housing or quarters; the recommending of rents and charges for housing occupancy; maintenance of liaison with representatives of owning corporations and with occupants of privately-owned (Title VIII) housing projects; and the maintenance of liaison with local authorities and with representatives of other Federal agencies on housing matters. Complete information on housing matters is contained in NAVFAC P-352, *Housing Administration.*

B. Functions. The Housing Division is responsible for housing administration, and through liaison with other divisions of the Public Works Department, arranges for inspection, planning and estimating, and performance of maintenance of housing. No inspectors, planners and estimators, or maintenance personnel are authorized for the housing component. Housing administration involves collecting rentals, maintaining cash controls and records, signing agreements for the Government, taking inventories, assisting in the preparation of budgets, initiating requests for funds, preparing occupant's handbooks and other publications, providing guidance for tenants' activities programs, promoting tenant maintenance programs, handling tenant relations when circumstances warrant special attention; representing the management in relation with tenant associations.

The function of providing a home for a military family goes far beyond the administrative response to a document. Every Housing Division action involves the comfort of a family. Too often, this is overlooked in favor of efficient administration and this can become impersonal,

dehumanizing, and destructive of morale. Housing administration requires great patience on the part of Division personnel, sensitivity, and devotion to the service character of the Housing Division. The command cannot afford to tolerate anything less than constant awareness of the service character of the housing operation by all personnel involved.

2.2.3 Engineering Division

A. Responsibilities. The Engineering Division is responsible, with regard to public works and public utilities, for all matters pertaining to engineering studies and reports, including preliminary designs and estimates for special Repair and Improvement Projects; engineering design, including development of plans and specifications, with due recognition of the support available from the Engineering Field Division; field engineering, including hydrographic and subsurface surveys; photographic services; and the maintenance of technical plan files and records. This Division is responsible for preparation of Shore Facilities Planning documents and for the submission of basic data required by the EFD, for preliminary engineering studies, including environmental impact analyses and project economic analyses.

B. Subdivision into Branches. Whenever the workload justifies or requires such action, the Engineering Division may be subdivided into the branches listed below. Each branch is responsible for the performance of functions noted above in the particular fields indicated by the branch titles.

1. Facilities Planning Branch
2. Electrical Branch
3. Architectural and Structural Branch
4. Civil Branch
5. Plans and Specifications Branch
6. Mechanical Branch

Survey work should be performed as a part of the civil component; a separate branch for survey work should not be established.

C. Support by Engineering Field Division. The Public Works Officer should establish an Engineering Division sufficient to handle routine work only and should rely upon the EFD for the design of major public works and public works and public utilities, for the preparation of specifications in connection therewith, and for engineering investigations in specialized fields. When review of proposed plans or specifications is desired from a technical engineering standpoint, the activity should call upon the EFD.

2.2.4 Maintenance Control Division

A. Concept of Maintenance Control. Work planning and estimating will be most successful if the initiation of all maintenance work at an activity is processed through a designated component of the division that plans, estimates and programs the work. A successful maintenance management program requires:

1. An all-inclusive maintenance policy that calls

together with the initiation of corrective action, is accomplished by the shore facilities inspection system.)

2. Screening of all maintenance work prior to submission to shops for accomplishment to insure that all work falls within the scope of Public Works Department's responsibilities. Unnecessary and uneconomical work will not be authorized. Necessary work will be handled expeditiously and economically in accordance with its relative urgency and need within the limits of funds and manpower availability. Some work may have to be performed by contract.

3. Detection of abnormally repetitive or costly maintenance on specific facilities or components, or other abnormal conditions, and recommendations (with justification for funding) to the Public Works Officer for corrective action in the form of special maintenance, alteration, or repair projects.

4. Provision of labor and material estimates for all work other than that of an emergency/service nature.

B. Functions of the Maintenance Control Division. The Maintenance Control Division is responsible for the integration of a short and long range maintenance plan and workload program, screening and classifying all work requests, prior to submission to shops for accomplishment; the continuous inspection of shore facilities to reveal the need for maintenance work; the preparation of manpower and materials estimates for job orders; the determination of the need for engineering advice and assistance; and the initiation of requests to the Public Works Officer for approval to perform work by contract. The Division is also responsible for review, recommendation, and justification to the Public Works Officer for funding of special maintenance, alteration, and repair projects when indicated by recurring or costly maintenance experiences. For the usual types of maintenance work, and within limits specified by the Public Works Officer, authority to approve job orders should be delegated to the Director of the Maintenance Control Division.

The Maintenance Control Division is responsible for the following functions as they apply to the maintenance and operation of transportation equipment and utilities systems:

1. Preparation of all estimated standing job orders. These standing job orders shall be estimated for the period involved and shall specify frequencies of Preventive Maintenace Inspection (PMI). This function shall not include the preparation and processing of Transportation Shop Repair Orders, which are charged against the standing job orders.

The Director of the Division should have a good background of education and experience in the field of maintenance engineering. Industrial engineering experience is desirable. The Maintenance Control Division may be subdivided into the components listed below:

a. Work Reception and Control Branch
b. Inspection Branch

C. **Work Reception and Control Branch.** The Work Reception and Control Branch is responsible for screening, classifying, and recording all incoming requests for maintenance work (including emergency/service); controlling the step-by-step processing of work requests, inspection reports, job orders, emergency/service work authorizations; typing job orders; and maintaining inspection frequency files; etc. All clerical personnel employed in the Maintenance Control Division will be assigned to this branch.

D. **Inspection Branch.** The Inspection Branch is responsible for carrying out the shore facilities inspection program, the performance of assigned inspections of public works and public utilities within established schedules; the establishment and technical control of the Preventive Maintenance Inspection (PMI) for shop forces; the preparation of inspection reports reflecting physical condition of the plant including seeing that job orders are prepared for the deficiencies uncovered; and preparation of the Type "A" Annual Inspection Summary. The Inspection Branch is staffed with wage board inspectors and with a supervisory inspector unless the functions of this Branch are combined with the Planning and Estimating Branch.

E. **Planning and Estimating Branch.** Responsibilities of the Planning and Estimating Branch are outlined in the following paragraphs and apply to all planning and estimating work except that generated by the Shore Facilities Inspection System:

1. This Branch is responsible for the preparation of manpower and material estimates, and the compilation of estimating information designed to improve estimating techniques for labor and material costs.

2. The Planning and Estimating Branch is responsible for overall job planning and for preparing estimates for work to be accomplished, and for initiating and expediting job orders for work performed by the operating divisions in the Public Works Department. The substantive parts of the job orders will be prepared by this branch; accounting data will be provided by the Financial Branch, Administrative Division. Job orders are approved by the Public Works Officer, the Assistant Public Works Officer, or the Director of the Maintenance Control Division within his delegated authority. This includes providing necessary data for evaluation of all work (including that generated by the Shore Facilities Inspection System) by the Division Director, Assistant Public Works Officer, or Public Works Officer to aid him in reaching a decision in approving or disapproving the work requested, and to permit the cognizant shop supervisor to assign personnel without again surveying the job site.

F. **Service Contract Branch.** This branch is responsible for preparation, administration and inspection of Facility Support Contracts. As well, it is tasked with certifying contractor invoices for payment. The responsibility for advertising the contract, receiving bids, awarding the contract, negotiating change orders, and paying the contractor will normally remain exclusively with the OICC.

shown that at such activities the workload in the two divisions is not of sufficient scope and quantity to justify establishment of two engineering positions at a sufficient grade level to attract highly qualified incumbents. By this combination the activity will be in a better position to secure a qualified engineer to supervise the maintenance control and engineering functions. When this procedure is adopted, branches should not be established unless there is a requirement for five or more personnel for the Branch. Module 4, Public Works Departments, usually have between 100 and 125 total personnel in the maintenance and utilities divisions combined, might consider the advantages of such a merger. However, Module 3 and larger PWDs should not combine the Engineering and Maintenance Control Divisions, since the scope and quantity of work in each area requires the full-time attention of one incumbent, and should be sufficient to obtain high enough grade allocations to attract qualified directors for both divisions.

PART 3 — OPERATING DIVISIONS

The following paragraphs describe the Public Works Department with separate Maintenance, Utilities, and Transportation Divisions. The smaller Public Works Departments with limited staffing and workload (see Figure 2-6, Module 6) may have combined the functions of the Operating Divisions into a single Shops Division.

2.3.1 The Shops Engineer. As noted in paragraph 2.1.2.B.4, the Shops Engineer is responsible for the direction and coordination of all matters pertaining to the shop operations and for maintaining liaison between the Public Works Department and others on shop matters.

The Shops Engineer will be the Acting Assistant Public Works Officer in the absence of the Assistant Public Works Officer. At Public Works Departments without a Shops Engineer, the above duties will normally be performed by a civilian Shops Superintendent (Modules 2 through 6).

2.3.2 Shops Division Directors (Civilian). The Shops Division Directors may report directly to the Shops Engineer, Shops Superintendent and/or Assistant Public Works Officer on all matters concerning civilian personnel actions and grievances within the division. In addition, the Division Director, in a supervisory capacity, is responsible for the discharge of the following duties:

1. **Production Control.** Actual direct labor hours should not exceed the estimated or standard hours time where established.

2. **Overhead Control.** Actual overhead percentage amounts should not be excessive or exceed standard amounts where established.

3. **Job Assignments.** Job assignments in work centers/branches must be so regulated that delay times are kept to a minimum.

4. **Quality of Workmanship.** Final inspection of work will be made by the Shop Division Director.

5. Material Usage. Material usage will be verified by the Shop Division Director.

6. Personnel Assignment. Personnel will be assigned as workload and backlog dictates. In the service branches shifts will be established for continuous operation as required.

7. Personnel Training. The Division Director will insure the proper training for the various trade groups as required by the CMMIs and Civilian Personnel Office Directives.

2.3.3 Maintenance Division

A. Size of Maintenance Division. In general, the maintenance force should be sufficient to perform only regular maintenance. Alterations, new construction, and major maintenance and repair should be performed by contract to the extent possible.

B. Functional Responsibilities. The Maintenance Division is responsible for the accomplishment of the maintenance of all public works, utilities and Family Housing. This includes, when authorized, repair, alteration, and new construction incident to maintenance, except work that may be done by private contract. The Division is also responsible for PMI and for receiving and accomplishing emergency/service work, as well as doing all work on utilities plants and systems except that performed by Utilities Division personnel. It is also tasked with providing caretaking services, and for the upkeep of all grounds of the activity, and the accomplishment of insect and rodent control.

1. Components of Maintenance Division. The shop components of the Maintenance Division will vary among types and sizes of activities because of the availability or nonavailability of certain crafts and shop facilities within other organizational components of the activity. For example, the variety of crafts and shops required in the Public Works Department at a nonindustrial activity, such as a Naval Training Center, will be greater than at an industrial activity, such as a shipyard, because of the availability of support from production shops at the latter. The grouping of shops by branches as shown below may require realignment locally to give maximum supervisory efficiency depending on the size of the shops and the availability of support from other shops within the activity. The following shops and groupings thereof are suggested for consideration when and as required:

a. Building Trades Branch:

Carpentry
Paint
Wharf Building
Masonry
Rigger (Local conditions may warrant placing riggers in one of the other branches or in the Transportation Division)

b. Metal Trades Branch:

Sheetmetal
Machine

c. Electrical Branch:

Electrical
Communications and Fire Alarm
Refrigeration and Air Conditioning

d. General Services Branch:

Janitorial and Grounds (including Labor Pool)
Refuse Disposal
Grounds Structures (Railroad Trackage, Roads, Paving, etc.)
Pest Control Services (including chemical weed control)

e. Emergency/Service Branch. The Emergency/Service Branch is responsible for accomplishing 50% or more of all work on an emergency/service nature, thus allowing other shops to devote their time to scheduled maintenance work.

Activities having over 100 total personnel in the Maintenance and Utilities Divisions combined should establish this component. Activities having less than 100 personnel should do so only when the volume of work in this area is sufficient to justify a staffing of at least five personnel.

The staff of the Director of the Maintenance Division may include clerical personnel, a maintenance scheduler, and shop planners. The maintenance scheduler provides overall job planning at the Maintenance Division level. The shop planners provide supplemental detailed planning at the work center level. A ratio of approximately one shop planner to sixty Wage Board employees in the Maintenance Division or one shop planer to forty personnel in the basic trade areas (building trades, metal trades, electrical) is adequate.

Organizationally, the shop planners should be on the staff of the Director of the Maintenance Division. If less that six shop planners are employed, they should be placed under the supervision of the scheduler. If six or more are employed, a Shop Planning Staff may be formed, with the superivsory shop planner under the direct supervision of the Director of the Maintenance Division.

C. Staffing Criteria: Maintenance Division. Some time ago a study was conducted at NAVFAC to discover existing relationships, if any, between real property quantities and industrial engineered determination of Public Works Department Maintenance Division craftsmen requirements. The intended result was a quick reference guide for identifying Maintenance Division staffing areas requiring further study for under- or over-staffing.

1. Supporting Data. Data for the study were derived from Engineering Field Division Industrial Engineering participation in 34 field activity Maintenance Division Manpower Validations representing approximately

1. Grounds — Improved, Semi-Improved and Unimproved.
2. Wharves and Docks.
3. Utilities.
4. Road and Airfield Pavement.
5. Current Plant Value.
6. Building Areas.

2. Correlations. Comparison of the manpower and real property quantitative data indicated apparent correlation for Building Areas. Other real property quantity indices analyzed were either of too limited scope, affected only one trade or part of a trade, or had no apparent correlation.

A definite correlation existed between the number of maintenance craftsmen and the 1969 CPV. Available data was plotted and a line-of-best fit determined. The curves are shown on Figure 2-7.

3. Other Criteria. Another general deduction was the percentage distribution of craftsmen among major trade groups. Percentages shown below, may be applied to total Maintenance Division populations projected from Figure 2-7, to obtain major trade group staffing levels.

Electrical	17%
Metal	19%
General Service	30%
Emergency/Service	10%
	100%

The age of the study and the increasing volume of work accomplished by contract reduce the value of this staffing guidline. It can, however, serve as a gauge for PW managers assessing their overall manpower needs.

2.3.4 Utilities Division

A. Functional Responsibilities:

1. The Utilities Division is responsible for the operation of utility plants and distribution systems. This Division is responsible for the operation, operator inspection, Preventive Maintenance Inspection, and service work in accordance with maintenance management procedures for power, heating, refrigerating, compressed air, water, and sewage treatment plants; fixed pumping stations and substations; also of electric, water, steam, air, gas, and fuel

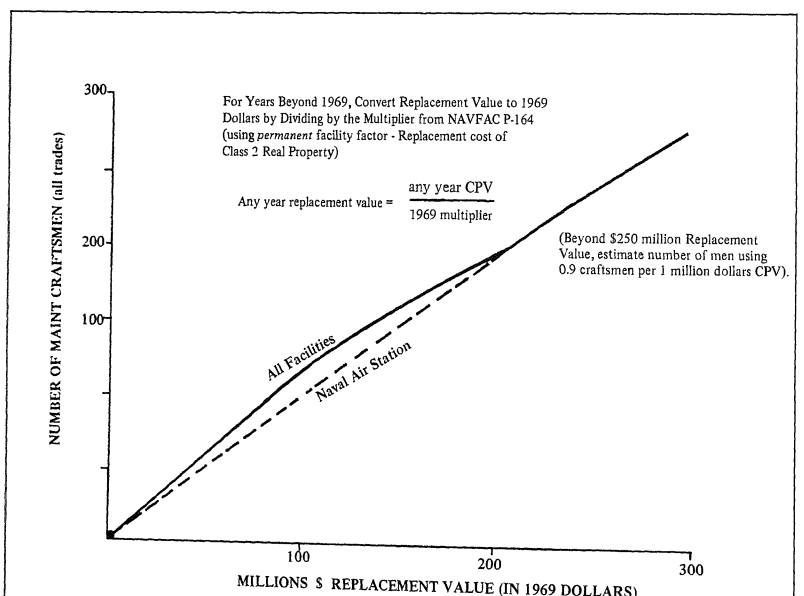


FIGURE 2-7
NUMBER OF MAINTENANCE CRAFTSMEN VS REPLACEMENT VALUE (CPV)

2. Utilities Division is responsible for determining the need of maintenance, scheduling shut-down time for the availability of equipment and systems for accomplishment of maintenance and overhaul, inspecting the work in progress, and final acceptance inspection of the work when completed. The schedule for maintenance or overhaul of utilities plant equipment shall normally be approved by the Public Works Officer, and such schedules should be utilized for the routine overhaul of such equipment in accordance with MO-322.

3. The Utilities Division will provide the necessary assistance as requested for control inspection in specialized areas.

4. Utilities Division shall be staffed with the minimum number of personnel of utilities and related utilities trades to perform the above functions. Maintenance work beyond the responsibilities in 1 above shall be recommended by the Director of the Utilities Division and processed through the Maintenenace Control Division for accomplishemnt either by contract or by station forces in accordance with MO-321. When maintenance or overhaul work is accomplished by station forces, Utilities Division will provide technical and journeyman assistance as necessary and available.

5. Maximum utilization shall be made of all Utilities Division personnel on utilities maintenance work within the plant.

B. Components of Utilities Division. The Components of the Utilities Division will vary among types and sizes of activities and will also depend on the degree to which utilities are generated or purchased.

1. The following components are suggested for consideration when and as required.

a. Generation and Distribution Branch:

Steam
Electric
Miscellaneous

b. Water and Sewage Branch:

Water Treatment
Sewage Treatment

2. The staff of the Utilities Division may include clerical personnel for division administration.

a. Staffing Criteria: Utility Division. Because of the range of utility service requirements and different production versus purchase arrangements, there is no firm criteria for staffing the Utilities Division.

2.3.5 Transportation Division

A. Functional Responsibility. The Transportation Division is responsible for providing transportation and equipment services to all components of the activity. These include: operating vehicle and equipment pools; operating scheduled and unscheduled passenger and freight transport

required; the scheduling of the work; the accomplishment of the maintenance and overhaul; the inspection of the work in progress; and the final acceptance inspection of the work when completed.

B. Organizational Components. Normally the organization will consist of two branches: an Operations Branch and an Equipment Maintenance Branch under a Superintendent. The Transportation Division Director is responsible for planning, organizing, as well as directing, supervising, controlling, and coordinating work of the two branches. The Director shall be responsible for achieving the objectives of the Division by providing responsive transportation services to the activity with safe and reliable vehicles/equipment in a cost effective manner. The major functions of the two branches are as follows:

1. Operations Branch

a. Operates activity bus and taxi systems for the movement of personnel.

b. Operates trucking system for intra-station movement of material and equipment.

c. Operates solid waste collection systems.

d. Provides equipment with operators in performing facilities maintenance functions including special rigger and equipment for heavy lifts and movements.

e. Assigns vehicles on long term to using departments. (Type "B" assignments.)

f. Operates station motor pool and assigns vehicles on daily or trip basis (Type "C" assignments) and respond to all intermittent random demands.

2. Equipment Maintenance Branch

a. Plans and schedules all maintenance actions to ensure efficient shop loading and minimum equipment downtime.

b. Inspects, diagnoses and directs maintenance actions required to ensure safe, serviceable equipment in a cost-effective manner.

c. Accomplishes all maintenance actions authorized on Shop Repair Orders ensuring the optimum productivity of the work force and parts and material requirements.

d. Performs Quality Control Inspections to ensure the safety and reliability of all maintenance accomplished.

3. Subordinate Components. Depending on the size of the activities subordinate organizations designated as "selections" may be established to carry out the functions outlined in subparagraphs a. and b. above. Sections will normally be headed by a Foreman or General Foreman. Suggested sections are as follows:

(4) Crane and Rigger Section
(5) Operator Licensing and Examining Section

b. **Under Maintenance Branch:**

(1) Shop or Production Control Section
(2) Inspection and Estimating Section
(3) Automotive Repair Section
(4) Heavy Equipment Repair Section
(5) Materials Handling Equipment Repair Section

C. **Staffing Criteria: Transportation Division.** The number of mechanics required can be estimated by calculating the total number of maintenance hours required for your fleet per year, using the maintenance manhour standards found in Appendix F or NAVFAC P-300, multiplying by actual miles in thousands/hours/units for each category of equipment, and dividing the total figure by 1725, which is the approximate number of *productive* manhours per mechanic per year. The answer will be approximate number of mechanics required, provided that your maintenance hour input (hours of maintenance required for each vehicle) for your vehicles do not vary significantly from the norm. This can be determined from past cost reports, see Chapter 8, Part 5. Handicap factors are contained in P-300, Appendix F, and should be applied to the total standard manhours as authorized by the Transportation Equipment Management Center (TEMC). This method should be used only when operations standards have been revised to encompass fuel only.

1. **Mathematically: For each type**

Annual Actual Miles/Hours/Units X Maint. MH Standard
1725 (Productive manhours/man year)

+Actual Hours for Customers, Accidents and Equipment Owned by others

= number of mechanics required.

The number of operators is derived by empirical analysis of the local situation.

Basically, the answer is found by deciding which vehicles need Public Works drivers. Next, how many driver hours will it take to achieve target miles or hours for these vehicles? This rather imprecise answer depends upon too many variables to develop mathematically. It is a function of the nature and tempo of the particular operation. Factors which affect this would be:

A. Type of equipment being driven.
B. Hours of operation.
C. Nature of runs (length, dead time, etc.).
D. Required responsiveness.
E. Type of dispatch (radio?).
F. Special requirements (supply, C.O. sedan, etc.).

This type of analysis is time consuming, but worthwhile on a periodic basis.

A less time consuming way to quickly validate the staffing of the Transportation Division is to ask the Transportation

PART 4 — THE SEABEE DIVISION

2.4.1 Background. Ever since World War II, creating CONUS shore billets for Seabee personnel has presented problems. Without such billets in satisfactory numbers, Seabees would spend their entire careers rotating among the battalions. In order to provide shore billets for these men, many Public Works Departments were given an allowance of Occupational Field XIII. All too often, however, the work these men were given to do in the Public Works Department was a watch-standing occupation not even remotely related to their rating. This, in effect, penalized the career Seabee. In order to spend a tour of duty with his family, he was required to perform outside his rating; i.e., perform work which did not increase his proficiency. The cost of this in morale, career-orientation is obvious. There were other costs; i.e., the lower order of military readiness of individuals who were, in effect, put into storage for the period of their shore-duty.

2.4.2 The CBU. For the aforementioned reasons, approval of a new concept, and a new unit of the Naval Construction Force: The CBU, The Construction Battalion Unit, was obtained.

This unit, under a CEC Officer as Officer-in-Charge, is an independent unit, reporting not to the Public Works Officer, but to the activity Commanding Officer. It will have the integrity of a military unit (to an extent not realized under previous practices) and because of that will be able to maintain a high degree of military readiness. The CBU could in time of emergency become part of the fleet more quickly. Further, the opportunity for the men of the unit to be occupied in work related to their rating would be much greater, thus removing the penalty feature of shore duty. The first CBU, 401, was established at Great Lakes, Illinois, on 15 December 1969. Chapter 15, Collateral Duties of the Public Works Officer, further discusses the CBU.

2.4.3 The Seabee in the Public Works Department.

A. No specific mention has been made thus far in the discussion of the organization of Public Works Departments as to where, or if, enlisted Seeabees fit in. They can and do, however, provide many valuable services. For example, the senior petty officer can provide much experience and leadership within the PWD. This source of assistance and talent has often times been overlooked. There are several reasons for this. One is that the Public Works Organization, functions, and methods are often not fully understood because he has often had little or no training or experience in public works itself. The vocabulary, paperwork, procedures, etc. are unfamiliar. The Public Works Officer who assumes that the newly arrived Seabee understands what is supposed to be going on in the PWD could be making a serious mistake. It will be well worth the time to explain the entire organization and how it functions to all incoming enlisted personnel so that they and the PWD may derive the most benefit from their tour.

B. A training program should be established which not only concentrates on military subjects, but which also provides expanded emphasis on management skills. For example, the purpose of Maintenance Control may be clear

to the PWO, but someone unfamiliar with this concept may find it unfathomable. It is important, especially for the senior petty officers, that they look at the management of the entire department and not just at their particular job or division. This text is a good tool to use...perhaps one chapter a week could be read and discussed. Then the specific application at that particular activity could then be examined.

C. Be conscious of where and how the Seabees' talents are utilized and how your organization, the Navy, and the particular individual can be best served. Some examples of where the Seabees have been used in the Public Works Department organizational structure are:

1. A separate Seabee Division reporting to the Shops Engineer (working on Self-help and other projects).

2. Integrated with the shops forces as a member of the work crew. This is difficult to achieve for a number of reasons, among which are: the difference in the skill level of the civil service craftsmen and the Seabee, the difference in the basic work rules (e.g. military inspections and other duties vice a strict accountability of time for civil service employees), and some feeling of "taking work away" from the civilian employees (in almost every case there is much more work that we can ever hope to get to with all the people we have).

3. A separate branch of the transportation division for all the Seabees assigned. This is not recommended because of the low job satisfaction — especially for those who are not equipment operators. The skill training opportunities are not very high in this arrangement.

4. A separate Emergency/Service branch. This provides some additional job satisfaction but it has the disadvantage of not having the continuity necessary to locate the problems (especially in utilities) and solve them.

PART 5 — MARINE CORPS GROUND ACTIVITIES

2.5.1 General. Although the PWD's at Marine Air Stations are organized like PWDs at most Naval Activities (as previously described in this chapter), the function of the CEC officer who is titled "PWO" at a Marine Corps Ground Activity is decidedly different.

2.5.2 Organization. At USMC Ground activities the Public Works Officer and the Public Works Department are responsible for facilities engineering and planning, construction contracting and utilities contract administration. The other areas of responsibilities common to Public Works Departments at Naval activities such as Maintenance and Utilities, Housing, Telephone Systems and Natural Resource Conservation are assigned to Marines. This division of

PART 6 — MODIFICATION OF THE STANDARD ORGANIZATION

2.6.1 General. While circumstances at some activities will seem to mandate deviations from the organizations showm herein, all concerned should consider change carefully before forwarding. Too often in the past, reorganization has been used as a symbol for the "new broom." Every reorganization costs something, and often the costs in the long-run outweigh the benefits. The case for organizational change should be documented, and expected benefits should not be presumed but should be described in such a manner that an objective review would support the change.

A. Reorganization is not a cure for poor morale, substandard performance by key personnel, nor a source of motivation, nor a crutch for ineffective departmental leadership. Neither will it necessarily eliminate empires; it may only drive an empire underground.

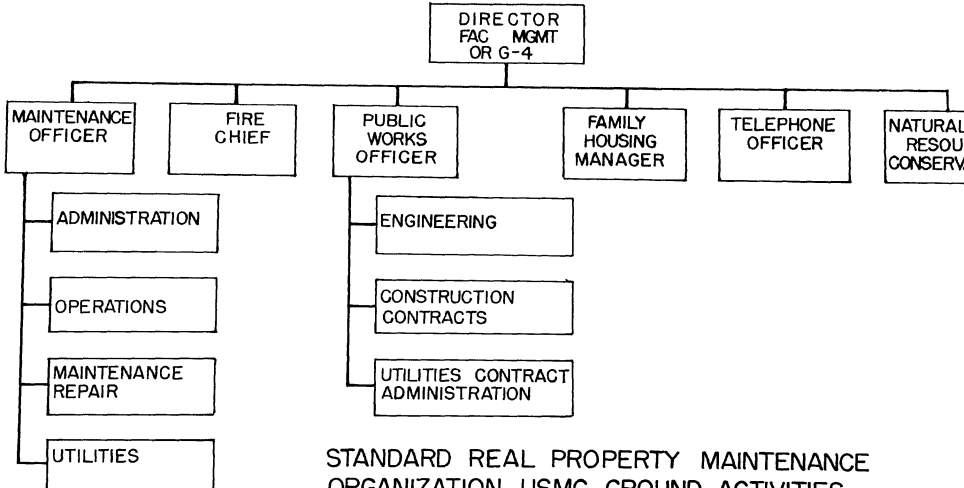
B. Studies which may lead to eventual reorganization should involve individuals who will carry the load of making the revised organization work. Reorganization studies and plans developed "in camera" are almost always doomed.

C. In the words of Peter Drucker: "If you have no case against (reorganization), you have no case for." There will always be a case against. If you cannot articulate it, you haven't considered alternatives; which is to say — you haven't done your homework. You can be sure that the case "against" will be developed by reviewing authorities.

D. Finally, in reorganization studies, the structure of an organization must never be considered separately from procedures, or the courses that work in process must follow for economic achievement. The case for simplicity is over-powering; and reorganizations which require work processes to travel tortuous or devious routes inevitably develop costs in terms of time, delay, opportunity for error, indifference, or which invite communication failure only creat problems greater than the original. It is also important to remember, in the midst of reorganization planning, that people are more important than things. Excessively bureaucratic organizations are never acceptably productive. Some reorganizations only dig a deeper bureaucratic rut.

PART 7 — MANAGEMENT INFORMATION

2.7.1 Objectives. The general objective of Public Works Management reports is to provide managers with the wherewithall to manage rationally rather than by the seat of their pants. To place Public Works reports in perspective, it is necessary to understand that there are various levels of management, ranging from Division Director to the major claimant all of whom require different types of information on which to base their actions. Every report which is generated by a Public Works Department effort is not therefore, of vital interest to the PWO himself. Rest assured that someone up or down the line needs (or wishes) the information. When we speak of "management" in the Public Works context (or any other context, for that matter), we speak of the process of establishing realistic goals, objectives, and plans for accomplishment of taks which



STANDARD REAL PROPERTY MAINTENANCE ORGANIZATION USMC GROUND ACTIVITIES

FIGURE 2-8

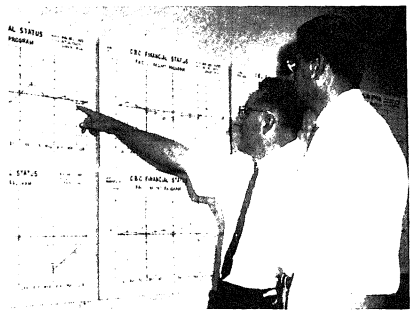


FIGURE 2-9
THE MANAGEMENT INFORMATION CENTER

form the "guideposts" for accomplishment of specific tasks and are the supervisor's "roadmaps." By planning ahead of time, it is presumed that optimum use can be made of manpower, machinery, materials, and money. The collection and display of actual task performance data in the same array and detail as the plan then permits identification of variances between plan and accomplishment and enables the manager to either (1) alter the next plan to more closely match actual capability, (2) identify and correct deficiencies in the execution of tasks, or (3) change capabilities or reorganize to better accomplish tasks. This is management by exception, and it is only made possible by use of the "Plan-Execute-Appraise" cycle or "closed loop" concept of management.

2.7.2 Types. "Plans" vary widely with function and level of management attention but can generally be grouped into: (1) financial plans (budget); (2) job or work plans (job orders, shop repair orders); (3) production or usage targets (utilities targets, mileage targets); and (4) plans for the utilization of manpower (manpower availability summary, shop load plans, shop schedules). Some of these targets apply to several functions. An example of this would be plans for the utilization of labor in the maintenance and utilities division. Others are unique to a particular function such as unit costs for operation and maintenance of equipment. The reports which you generate or review will normally be one of these general types of plans. At least half the battle of understanding and being able to analyze reports lies in the ability to recognize what you are looking at; what type of plan you are monitoring and what information is generated. Trying to look for indications of shop efficiency in a cost report or discover subtle nuances of job efficiency in a labor control report are exercises in futility which will soon frustrate initiative. Know what you are looking at — then take it from there! Most reports are presented at the end of the subject chapter to which they apply. Included with each

between the responsibility for preparation, the responsibility for review and analysis, and the responsibility for correction of identified variances. Surprisingly, for example, almost all recurring public works reports are the responsibility of the station Comptroller for preparation. He, however, has little interest in their content or analyses which is usually the responsibility of various Public Works personnel. (Note that we have *not* named the Administration Division as being solely responsible for analysis — all too often we hear the line supervisor or division director saying that "all the paperwork is handled by Admin." This is symptomatic of a sick department.) Corrective measures to eliminate variances can be the responsibility of those who made the plan, or those who followed it or both.

How about the Public Works Officer? A Public Works Officer once said, "Don't come to me with problems — come to me with solutions." This pretty well summarizes the Public Works Officer's role in reporting. If things are going right, he should *not* prepare reports or have to insure their accuracy or timeliness — he has an Administrative Division Director who is paid to worry about that. He should not have to analyze reports to determine significant trouble or variances — this usually takes many hours of systematic work which can best be done by an educated clerk-typist if you can't afford a management analyst. He should not even have to initiate corrective action unless such action is beyond the control of management or supervision down the chain of command, or unless action has not been initiated where needed. What he *should* do is review reports which have already been analyzed and annotated by his subordinates as to discrepancy, cause, and action taken. He should check to see if the required action is, in fact, underway, and note the trouble to see if it disappears next time. He should insure that the people who are responsible for the reports are doing their jobs (by questioning them, if necessary), and he should act as the transmitter of information and interpreter of trends

to your own personnel than the graphic display of your current goals and objectives along with current status toward achieving them.)

Any of the responsibilities of the Public Works Officer mentioned above requires him to have a sound grasp of what goes into a report, and what can be determined from it. In addition, the Public Works Officer must build up his own credibility toward reports before he can fully trust and utilize them. Therefore, the following procedure is suggested to the new officer in Public Works. The first time a UCAR or other report appears in your in-basket, resist the impulse to glance at it, ititial it, and pass it on after a cursory examination. Pick it up, look at it, ask for the instruction and the responsible Division Director and go over the report in detail (this will probably take a few hours). Ask to see the last report covering the same material and last years report covering the same period. Ask also to see a resume of deviations and significant trends. Find out who gets the report after it leaves the station and what *they* do with it. Check for accuracy by adding up the lines and columns where applicable. Find out the relationship between this and other reports containing similar material. Why should one go to all this trouble? Your effort will result in several things: first, you will learn something about the report, as well as about the condition and operating characteristics of your plant; second, you now have an Administrative Director and others who are completely convinced of the interest their new boss has in management analysis and who will pass the word about this to everyone. From this point on, you can expect accurate, timely, and annotated reports — what's more, you can expect people down the line to start noting discrepancies, and taking action. *Take* the *time* to learn about the report the *first* time — otherwise you will receive garbage — which is what you will deserve.

2.7.4 Standards. A few words are necessary about "standards" or unit cost targets — particularly the "Navy wide" variety. You will find very quickly that there is an abundance of "Navy wide" standards and "acceptable ranges" which can be used as "gauges" by which to measure your department's proficiency in the various functional areas. These standards are good to have in that they give you *something* with which to compare your statistics. Use them as guides, but be careful not to place *too much* importance on these standards. They can sometimes deceive you into false judgments and erroneous courses of action. A couple of notable exceptions to the above are family housing utilization percentages and cost targets and unit costs for operation and maintenance of transportation equipment. Higher authority is insistent upon your meeting or exceeding these targets (and for good cause — money in these areas is extremely tight and subject to DOD and Congressional scrutiny). Of greater benefit and meaning than a Navy wide standard is *your own* standard or goal. For example, a labor control report might indicate that 12% of the available labor in your Building Trades Branch is devoted to service work (Labor Class Code 01) which is at variance with the Navy wide "norm" of 7.9%. Based upon this information, one would assume that something is wrong and that management should initiate corrective action. The 12% figure, however, might be down from 15% average for the last month or last year. In other words, perhaps it indicates an improving trend. On the other hand, it might be *up* from 5%, a declining trend, in which

Note that neither of the above [illegible] identifiable by a single report. A good manager will keep plots of performance on "desk charts" and compare these with standards or targets. A better manager will display performance goals and trends for all to see — producer and customer — by way of his "Management Information Center." Two things to keep in mind are: (1) Performance is indicated by a *series* of reports, not by a single report, and (2) performance means nothing without a target or goal, and the target which is developed locally by the people who will strive to meet it is much more meaningful than the imposed goal. However, one or the other is necessary.

2.7.5 Data Collection. It should be readily apparent that since most Public Works reports are generated by the Comptroller, the machinery for source data collection and transmittal from shop to accountant is of paramount importance. Without delving into the Navy Cost Collection System in any great detail here (see Chapter 13), a few basic concepts should, nevertheless, be presented.

Information for most Public Works reports is taken from the following documents.

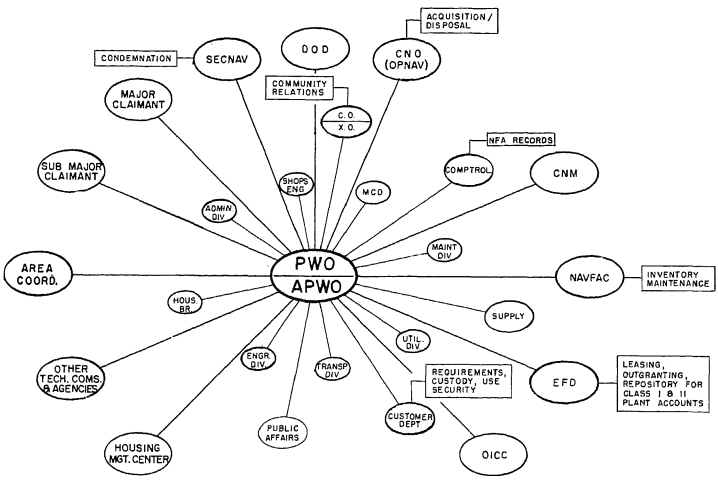
2.7.6 ADP Application. The future of Public Works Department Management Systems, including reports, is keyed to automation. There is no aspect of Public Works information gathering and display, or, for that matter, any Public Works "paperwork" which is not readily adaptable to the computer. The day is in sight where a Public Works report will consist of only the exceptions to the norm, and such things as shop scheduling, facilities requirements planning, and other management techniques will be done as a matter of routine by a computer. NAVFAC is currently revising the Public Works Department Management System (PWDMS), on a module-by-module basis. Volume I of NAVFAC Publication P-428, Public Works Department Management System, contains overviews of each operating module, implementation considerations, and automatic data processing support requirements. Volumes II through VIII contain more detailed operating procedures, data inputs and report outputs, descriptions, instructions on how to complete forms, definitions of data elements, and installation instructions for each of the modules. When completed, PWDMS will consist of independent modules that Public Works Officers may selectively use at their activities. Modules currently available are Emergency/Service and Shore Facilities Inspection/Annual Inspection Summary. Additional modules for Work Input Control, Management Analysis, Utilities, Transportation, and Housing will follow as they are developed.

2.7.7 Report Types. In the following chapters, common reports are shown by functional area. Information shown for each report is necessarily "broad brush" in content and depth and is not intended to replace the requiring instruction for its preparation. It is hoped, however, that explaining basic information about each will assist the new Public Works Officer in understanding the array of current reports. In addition to the reports shown, there will undoubtedly be locally developed reports with which the new officer in Public Works will have to familiarize himself. The Administrative Division Director should be able to summarize and present these.

Estimated labor hours by work center for a specific or estimated standing job order.	Job Order Face Sheet
Actual labor hours expended by work center for specific or estimated job orders.	Labor Job Time Cards
Estimated labor distribution by Labor Class Code for each work center in the Maintenance and Utilities Divisions.	Manpower Availability Summary
Actual labor distribution by Labor Class Code for each work center in the Maintenance and Utilities Divisions.	Labor Job Time Card
Estimated material costs for a specific or estimated standing job order.	Job Order Face Sheet
Actual material costs for a specific or estimated standing job order.	Requisition Forms 1348 and 1150
Estimated costs for maintaining facilities by type.	The Line Item/Cost Account Budget Feeder Sheets for Public Works
Actual costs for maintaining facilities.	Individual Job Order Costs (Material & Labor) collected into Selected Cost Accounts which correspond with Budget "Line Items"
Estimated labor and material costs for individual vehicle/equipment repair.	Shop Repair Order
Actual labor and material costs for individual vehicle/equipment repair.	Labor Job Time Cards and Material Requisitions
Estimated total costs for various equipment types (Operation and Maintenance).	The Budget Cost Account Feeder Sheets for Transportation
Actual total costs for various equipment types (Operation and Maintenance).	Individual Job Orders collected into Cost Accounts which coincide with the various equipment groups
Estimated or targeted unit costs for utilities.	Figures are developed utilizing joint performance and mathematical formulae provided by cognizant Division Directors as required
Actual unit cost for utilities.	UCAR - developed mathematically
Housing occupancy plan.	Provided by higher authority on a % target
Actual housing occupancy.	BAQ Records from Disbursing Office Plan Records in Housing Branch

each year, it forms the springboard for the Shore Facilities Planning and Programming System and the Military Construction Program; and it provides the basic framework for the continuous inspection program for maintenance. Its custody and upkeep, therefore, should not be relegated to a second-rate status in the PWO's spectrum of responsibilities.

Real Property Management, in a broader sense, encompasses not only custody and upkeep of inventories, but also a wide range of active functions, ranging from host-tenant relationship to forestry management and community encroachment. As custodian of Commands' physical plant, it is encumbant upon the PWO to recognize not only the depth and breath of his responsibilities with respect to Real Property Management but also to be thoroughly familiar with the nomenclature, rules, and regulations which govern this important set of functions.



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2. SECNAVINST 11011.12C, Subj: *Use of Real Navy Property under License and Under Use Agreements with Other Federal Agencies*
3. SECNAVINST 11011.15C, Subj: *Acquisition of Real Property Authorized and Funded Under Annual MILCON Programs*
4. SECNAVINST 11011.17C, Subj: *Acquisition of Real Property by Lease or Space Controlled or to be Leased by the GSA*
5. SECNAVINST 11011.18C, Subj: *Leasing of Department of the Navy Non-Excess Real Property*
6. SECNAVINST 11011.21C, Subj: *Granting Easements on Navy Real Property*
7. SECNAVINST 11011.22B, Subj: *Real Property; reassignment, Transfer and Disposal*
8. SECNAVINST 11011.26A, Subj: *Foreign Real and Related Personnel Property; assignment, transfer and disposal*
9. SECNAVINST 11011.27 with Change 1, Subj: *Agreements for Special Uses of Department of the Navy Real Property*
10. SECNAVINST 11011.29A, Subj: *Annexation by Local Municipalities of Department of the Navy Lands*
11. SECNAVINST 11011.38A, Subj: *Minor Land Acquisitions*
12. SECNAVINST 11011.39, Subj: *Acquisition of Real Property by Transfer from the Military Department and Other Federal Agencies*
13. SECNAVINST 11011.40A, Subj: *Inventory of Military Real Property*
14. SECNAVINST 11011.41, Subj: *Acquisition of Real Proeprty for Reserve Forces Facilities*
15. OPNAVINST 6240,2D, Subj: *National Environmental Policy Act and Environmental Impact Statements*
16. OPNAVINST 11010.1, Subj: *Shore Installation and Facilities Planning and Programming*
17. OPNAVINST 11011.9A, Subj: *Inventory of Military Real Property*
18. OPNAVINST 11011.10, Subj: *Utilization of Military Real Property*
19. OPNAVINST 11210.1, Subj: *Highways for National Defense*
20. NAVFACINST 7110.18A, Subj: *Soil and Water Conservation Program Annual Budget Estimates*
21. NAVFACINST 11010.44D, Subj: *Shore Facilities Planning*
22. NAVFACINST 1011.48B, Subj: *Use of Department of Navy Aviation Facilities by Other Than DOD Aircraft*

department for another department, for which reimbursement is not required.

Cross-Servicing. That function, performed by one department for another department, for which reimbursement is required.

Department. The Department of the Navy, or the Department of the Army, or the Department of the Air Force.

Facilities. The land (Class 1 Property) and/or buildings and improvements (Class 2 Property) carried on the plant account of a department.

Host. A unit or activity that provides facilities to another unit or activity. (For the purposes of Shore Installations Facilities Planning and Programming System, a Host activity is a shore activity which holds Class 1 plant account for facilities regardless of occupancy.)

Host-Tenant Real Estate Agreement. A document between two Departments within the Department of Defense setting forth the specific facilities provided by the Host unit or activity to the Tenant on an exclusive use (and joint use, if appropriate) basis, and the terms and conditions of such occupancy.

Intraservice Support Agreement. A document setting forth the facilities and services to be furnished by a Host-Navy or Corps unit or activity, and the funding responsibility of each.

Interests. The rights of use or ownership in land and/or improvements.

Natural Resources. Encompasses forestry, fish and wildlife, soil, water, grasslands, outdoor recreation and natural beauty.

Real Property. Includes interest in land and all improvements on or in the land.

Real Property Class 1 is land.

Real Property Class 2 are buildings, structures, utilities, and/or improvements to land.

Real Property Management. Involves planning, acquisition, utilization, and disposal of real property, and the conservation and management of natural resources.

Tenant. A unit or activity that occupies facilities provided by another unit or activity.

PART 1 - REAL PROPERTY POLICY

3.1.1 Acquisition of Real Property. Real property is to be acquired only when necessary to meet present and immediate foreseeable military requirements or the need to protect government interests.

3.1.2 Out Leasing of Government Real Property. Nonexcess government real property which, for the time being, is not required for government use, should be considered for outleasing.

3.1.3 Disposal of Real Property. Prompt disposal should be made of real property which is excess to current and foreseeable needs of the government.

PART 2 - REAL PROPERTY IDENTIFICATION

3.2.1 Real Property Inventory (RPI). The RPI has been maintained for many years in accordance with Title 10, U.S. Code 2701 as an official record of both financial and physical data on Navy facilities providing a current and accurate inventory of all Class 1 (land) and Class 2 (building, structures, utilities, etc.) property owned or controlled by the Department of the Navy. However, in addition to the financial and physical data, accurate and current information of use, user and condition of assets are required by the shore facilities planning systems to assist in establishing requirements for the Military Construction Program. Budgeting for necessary real property maintenance and repair programs also require current financial, physical, use, user and condition data on real property facilities which is provided by the Navy Facility Assets (NFA) data base. RPI and NFA are terms used interchangeable.

A. Property Records. The fiscal offices of all accountable activities maintain financial records of all Class 1 and 2 Real Property. In addition, an automated data processed central inventory record is maintained at the Navy Facilities Systems Office (FACSO), NCBC, Port Hueneme.

B. Maintaining the RPI. Maintaining the integrity and value of the RPI requires the participants in the combined data collection systems to effectively and efficiently assume their respective roles. The EFD's must promptly report the acquisitions of new property by purchase, construction under Military Construction appropriations, or other acquistion methods. The activity must report property newly acquired or altered by the shore activity under job orders using in-house labor or contracts. The EFD's have similar responsibility for reporting outgrants and disposal actions.

C. RPI Instructions. Detail instructions concerning the forms and procedures to be used in reporting changes that affect the RPI or NFA are contained in NAVFAC P-78 Navy Facilities Assets (NFA) Data Base Manual.

3.2.2 Category Codes. The Navy RPI or NFA is based on the Category Code structure. The publication which establishes the category codes, nomenclature and standardized units of measure for identifying, classifying and quantifying Navy facility assets is the NAVFAC P-72 Category Codes for Navy Facility Assets. The category code structure is used in connection with Shore Activity Programs to ensure uniformity in the areas of budgeting, planning and programming, real property management, design, construction, maintenance, and record keeping. Such uniformity is essential to the interchange of data between the various programs. Further, judgements and authorizations by higher level reviewers in the Navy, DOD and Congress are based on evaluation of total assets and requirements in the various categories.

A. DOD Basic Categories. Land (the acreage) assigned to any one of the Armed Services is considered Military Real Property, Class 1. All other real property items assigned and/or constructed on or in the land (buildings, structures, and utilities) are considered Military Real Property Class 2. All real property, Class 1 and 2, are categorized within the structure of the three digit DOD Basic Category Codes. One series of codes (the 900 series) applies only to Class 1 property. The codes included in that series indicate the estate of the land (the nature, degree and type of the government's *interest* in the land and the method of which that interest was acquired). Eight other series of codes (the 100 through 800 series) apply to Class 2 property. Unlike the 900 series, these eight series indicate the *use* made of the Class 2 property. The nine broad DOD facility groupings or Classes are:

100 Operational and Training Facilities
200 Maintenance and Production Facilities
300 Research, Development and Test Facilities
400 Supply Facilities
500 Hospital and Medical Facilities
600 Adminstrative Facilities
700 Housing and Community Facilities
800 Utilities and Ground Structures
900 Land or Real Estate

The Facility Classes are further subdivided into two or more Category Groups which are frequently subdivided into Basic Categories. Thus a three-digit DOD Code describes the Facility Class, the Category Group within the Class, and the digits which provide more definitive and effective categorization of real property. NAVFAC P-72 *Category* Codes for Navy Facility Assets, contains the complete cataloging of Navy codes, and detailed guidance in classification and reporting procedures. Figure 3-3 illustrates the development of Navy Codes for a Public Works Shop and a portable water distribution line.

219-10	**PUBLIC WORKS SHOP**
2	Facility Class (Maintenance & Production)
1	Category Group (Maintenance Facilities)
9	Basic Category (Public Works Repair & Operations)
-10	Public Works Shop
842-10	**WATER DISTRIBUTION LINE-POTABLE**
8	Facility Class (Utilities & Ground Improvements)
4	Category Group (Water)
2	Basic Category (Water Distribution Potable)
-10	Water Distribution Line - Potable

FIGURE 3-3
NAVY CATEGORY CODE

PART 3 - REAL PROPERTY MANAGEMENT

3.3.1 Background. Real Property Management is a complex program which is interrelated to many of the other Navy management programs. The purpose of Real Property Management is to obtain the maximum utilization possible of estate and improvements in the Navy's possession or control. It is particularly involved with the Shore Installations and Facilities Planning and Programming System and the Facilities Management System.

Further, the conduct of the real property management program requires coordination and cooperation with the Department of Defense, the other military services, and other executive agencies tasked with legal and administrative responsibility for management of Government real property.

3.3.2 Planning. Planning for the acquisition of new real property is a function of the Navy's Shore Facilities Planning System (SFPS). The system, in evaluating mission and function assignments, identifies real property requirements for which adequate facilities are not available. The real property requirements must be based upon known military

respected and damage to affected property owners minimized. Planning rationale and procedures are detailed in Chapter 4.

3.3.3 Programming and Budgeting. Programming and Budgeting for the acquisition of new real property follows the conventional procedures of the SIFPPS, or the special projects programs. Land acquisitions/exchanges usually require a Land Planning Report which is detailed description of lands involved, detailed appraisals, title research, etc., as well as a Candidate Environmental Impact Statement (CEIS) to comply with the requirements of OPNAVINST 6240.2 (current) *The National Environmental Policy Act and* Environmental Impact Statements. Refer to Chapter 12 for detailed discussion of CEIS requirements. Various alternatives for acquiring land are discussed below.

A. Land Valued at $50,000 or less. A proposal to acquire land (Class 1 Property) only, may be approved by the SECNAV. It must be a complete project, not an increment of a larger project and is funded with O&MN appropriations.

B. Land Values over $50,000. A proposal to acquire land valued in excess of $50,000 must be approved by the Congress through one of the following means:

1. MCON Legislation. Working within the shore facilities planning system a military construction project or line item is generated which must also compete with other MCON proposals for support is generated. A supported land acquisition MCON project is submitted through DOD, OMB, and eventually to the Congress for funding approval. Even after approval by the Congress the project must again be taken back to the Congressional Armed Services Committees for approval prior to consumption of the land acquisition pursuant to 10 U.S.C. 2662.

2. Special Legislation. Normally a bill introduced by a Congressman directly to Congress for approval. Again the Navy must go back to the Armed Services Committee's after Congressional approval before final consumption of the acquisition if cost exceeds $50,000.

3. Land Exchange/Transfers. There are three alternatives that can be utilized to effect a land exchange if value of the land being exchanged/transferred exceeds $50,000. MCON legislations and special legislation may be utilized to provide authority to consumate a land exchange. The third alternative is to have the General Services Adminstration (GSA) consumate an exchange using excess federal property to acquire land needed by the Navy. However, in all three cases if value of lands to be exchanged exceeds $50,000 the Navy must obtain Armed Services Committees approval. Additionally, the Navy land to be exchanged must be of equal or higher value than the nonfederal land since the difference in dollar value may be paid to the Federal government but not vice versa. Land exchanges also require a willing land holder who is agreeable to the exchange and agrees with the government on the *value* of lands to be exchanged.

actions are usually conducted by the LPO's. The Commanding Officer of a shore activity has no authority to procure Class 1 of 2 property.

A. Direct Purchase. This is the preferred method of acquisition. It is accomplished by negotiation and is based on a fair market value for the property involved. The fair market value is usually established by private appraisal. Fee simple title (complete ownership) interest in the land is generally acquired when:

1. Long-term requirements exist;
2. Permanent or extensive temporary construction is planned;
3. Restoration cost exceeds value;
4. Cost of lesser interest approaches fee value; and
5. Contemplated use will result in contamination that is expensive or virtually impossible to decontaminate.

B. Condemnation. Every effort must be made to acquire real property by negotiation and direct purchase before restoring to condemnation. The condemnation procedures are usually employed when:

1. Negotiations fail;
2. The property title is defective; or
3. National emergency dictates.

Condemnation proceedings can be initiated only by SECNAV. Congress must authorize acquisition and appropriate funds prior to the Justice Department filing condemnation action in court. Upon instituting suit, the estimated just compensation for the real property must be deposited with the court.

3.3.5 Ingranting Procedures. In addition to fee acquisition of real property there are several other vehicles to acquire an interest in land (other than complete ownership) of either a temporary or permanent nature.

A. Lease. Real property is usually leased for a specific consideration and for a specific period of time. Acquisition by lease may be considered when:

1. The location of the leased property is vital to the performance of an activity's mission;

2. No suitable government-owned real property is available at the location;

3. The cost of altering, renovating, rehabilitating and repairing available government property is out of proportion to the cost of acquiring or remaining in, leased property.

The general policy is to prohibit construction of permanent-type buildings or improvements on land in which governments rights are less than fee title or permanent easement. Specific exceptions to this basic policy are cited in NAVFAC P-73, *Real Estate Administration.*

Leasing of Special Purpose Space for wholly or predominately single purpose use is accomplished by the Navy. Elsewhere, the Navy leases whatever type of property is needed. Whenever possible, competitive procedures are used to obtain real property for Navy use by leasing.

A lease authorizes exclusive use for a firm period. It may be terminated by the Government on 30 to 90 days written notice. The usual period for giving notice of termination is thirty (30) days. However, a longer period can be authorized if justifiable. Leases with a value is excess of $50,000 require prior approval of the Armed Services Committees of the Congress.

B. Permit or License. A permit or license confers or grants temporary privileges to the Government. They are not assignable, and do not grant any estate in the real property. They are revocable at will by either party.

Permits or licenses are used to obtain rights-of-entry for various purposes; rights-of-way where statutes prohibit granting easements; pole attachments; obstruction lights or markers; sewer connections; railroad and highway crossings and for other short term or temporary uses.

C. Transfer. Property that is excess to the need of another military department, or other Federal agency, may be transferred to the Navy Department. This procedure may involve GSA and Congressional concurrence in certain cases.

D. Easement. An easement grants a right-to-use property for specific purposes. It implies an interest in that property and restricts the owners use of the property. An easement is not revocable; however, it may be terminated for non-use or abandonment.

E. Public Lands or Domain. These lands are managed by the Department of the Interior. Upon application, public land may be reserved, restricted or withdrawn for Navy use. Congressional approval is necessary when an activity requests withdrawal of more than 500 acres or when that activity already has title for more than 5,000 acres withdrawn from the public domain since 1958.

3.3.6 Outgranting Procedures. When Government-owned real property is temporarily excess to the needs of the Navy, consideration should be given to outgranting or outleasing the property. A very tangible benefit to the activity is that it reduces the outlay of O&MN funds for maintenance of the outgranted property. Outgranting is encouraged provided that:

1. It does not diminish the effectiveness of the activity;
2. It will not render the property unsuitable for planned future military use;
3. It will not interfere with use of adjacent real property; and
4. It will not permit use that may be a hazard to the property being outgranted.

The use of government property by others should not be permitted prior to the execution of an appropriate real property agreement. Detailed instructions and procedures for issuance of all forms of outgrants are contained in NAVFAC

outleased for private use for a term of not more than five years. Outleasing should be on a competitive basis whenever possible. The rental fee should equal for fair rental value of the lease, and should be established by the EFD staff or contract appraisal.

The terms of the outlease must provide the expeditious recapture of the property by the Government in time of national emergency. Leases are usually of three general types (1) general purpose (2) agricultural and (3) grazing lease. The Commanding Officer of an activity has no authority to outlease property but rather this responsibility is vested with NAVFAC/EFD's.

B. License. A license may be issued for use of Navy controlled property by private parties, corporation, state or local governments, or other Federal agencies when the following conditions exist:

> It will not interfere with Navy use; It is in the public interest; and revocation can be readily effect without working undue hardship on the license or embarrasing the Navy.

Commanding Officers or Officers-in-Charge of Naval and Marine Corps activities have or are being authorized, in general, to issue licenses for use of real property under their command provided:

1. The period of the license does not exceed one year from the effective date of the original license.

2. It does not involve a payment of cash, other than for Government furnished utilities and services.

3. The Commanding Officer/Officer-in-Charge of the activity concerned concurs;

4. The license prohibits new construction or the installation of non-servable improvements;

5. The license does not permit exclusive use of space by a Federal agency for a period in excess of one year.

6. The license does not permit any rights of use for a period longer than five years. The terms *license* and *permit* are used interchangeably. However, the term *permit* usually refers to a revocable right for the Navy to use property of others, while the term *license* refers to the revocable right in others to use property under the control of the Navy.

Licenses are usually executed on NAVDOCKS Form 2260 for license for Non Federal Use of Real Property and NAVDOCKS Form 2261 license for Use of Real Property by other Federal Agencies.

Any request for a license may be referred to the EFD by the activity Commanding Officer. EFD's have general authority to issue licenses.

C. Use Agreement. A Use Agreement is an authorization granted another Federal agency to use Navy real property for

action.

A Host-Tenant Real Estate Agreement is the form of Use Agreement granted when another military department or DOD activity is to be granted exclusive use of Navy real property. Refer to Part 4 of this chapter for discussion of Host-Tenant Agreements.

D. Easements. The granting of an easement restricts to some degree the government's existing rights of use in the real property, and may adversely affect either its future use for government purposes or its disposal if the property becomes excess to government requirements. Consequently, the Navy's policy is to restrict the granting of easements on real property to cases of necessity. To grant an easement, the following conditions must exist:

The government real property is the only property which can be used for the purpose;

An easement is the most appropriate form of real estate interest for the purpose;

The easement will not materially interfere with the government's present or future foreseeable use of the property; and

A cash consideration is paid equal to the fair value of the easement except that no consideration or a lesser consideration may be charged where the easement is granted for purposes which will be of benefit to the government.

1. Limitations. An easement may not be granted for the sole purpose of serving a Navy or Marine Corps activity. In such cases the right must be granted by the contract for services or by a license.

Navy regulations require that no easement be granted for a period exceeding fifty (50) years unless circumstances warrant a longer period or in perpetuity. As rights-of-way for roads and streets normally contemplate indefinite use, perpetual easements are usually granted for such purposes.

2. Authority to Grant. Commanders/Commanding Officers of the EFDs are responsible for processing a multiple addressee letter to NAVFAC and to the echelon of command, including CNO or CMC, to obtain approval for the granting of any easement. After all approvals are obtained Commanders/Commanding Officers of the EFDs will execute the grant of easement.

3. The NAVFAC P-73 provides standardized easement formats for the following:

a. For Power and Communication Lines.

b. For Roads and Streets.

c. For Oil Pipe Lines; Railroad Tracks; Substations for Electric Power Transmission Lines, Telephone Lines and Telegraph Lines; Pumping Stations for Gas, Water, Sewer and Oil Pipe Lines; Canals; Ditches; Flumes; Tunnels; Dams and Reservoirs in connection with Fish and Wildlife Programs, Fish Hatcheries and other Rights for a Section of the National System of Interstate and Defense Highways.

3.3.7 Special Use of Navy Property. Many special uses of Navy real property do not come within the scope of authority delegated by SECNAV to the Commander, NAVFACENGCOM with respect to leases, licenses, and easements. Certain of these special uses warrant special treatment, and SECNAV has established special policies and procedures for authorizing these uses. The special uses discussed in this section are:

Civil Use of Naval Aviation Facilities.
Utility Pole Agreements.
Public Telephone Facilities Agreements.
Railroad Spur Track Agreements.

These procedures do not apply where Navy property is required incident to a Government contract for procurement of services, utilities or construction and where the use is made a part of the contract.

A. Civil Use of Navy Aviation Facilities. The authority of Commanding Officers of active Navy or Marine Corps aviation facilities to approve or disapprove the issuance of aviation facility licenses for the use of civil aircraft is detailed in SECNAVINST. 3770.1B and NAVFACINST. 11011.48B. Approval of all requests for which specific authority is not granted to Commanding Officers or other designees, is reserved to the CNO. Examples of applications requiring CNO approvals are:

Requests for use of several facilities that are not under the control of one major command;

Requests for use of facilities, participating in U.S. Government or DOD single-manager contract and charter airlift operations;

Requests for use as a regular civil airfield by either commercial or general aviation;

Requests for use by foreign civil or government aircraft when not covered by an agreement between the U.S. Government and the foreign government.

1. Procedures where CNO approval not Required. In those cases where CNO approval is not required, the activity commanding officer obtains any necessary concurrences, and forwards the approved and partially executed license and other necessary documents to the cognizant EFD for execution and distribution.

2. Procedures where CNO approval is Required. In those cases where CNO approval is required, the activity Commanding Officer should transmit the partially executed license to CNO via the cognizant commands in accordance with SECNAVINST 3770.1B. Following approvals by CNO the license will be executed and distributed by NAVFAC.

B. Utility Pole Agreement. A Utility Pole Agreement is a revocable agreement which authorizes use of Governement-owned land for the erection of utility poles or

in the public interest;

b. The use will not interfere with the Navy's use of the property;

c. The use will not represent a hazard to the property included or adjacent government property;

d. The property involved is the only property which reasonably can be used for the purpose; and

e. The use can be terminated in fact at any time.

2. Procedures for Approval. The activity receiving a request for a Utility Pole agreement should carefully scrutinize the application to determine that the proposed use will not:

a. Impair the activity's ability to respond to its mission; and

b. Impair the government's ability to exercise its rights of revocation on policy grounds.

When the agreement can be approved in accordance with the above policy, the head of the activity should forward the request, including his endorsement, and any other comments and recommendations, to the cognizant EFD for execution. Terms and conditions of the agreement are detailed in NAVFAC P-73.

C. Public Telephone Facilities Agreement. A Public Telephone Facilities Agreement is similar to a Utility Pole Agreement in that it is a revocable agreement. It authorizes a telephone company to use government-property to provide public pay station telephone service.

1. Policy. The policy for the use of government-owned real property under a Public Telephone Facilities Agreement are identical with the procedures detailed in paragraph above the Utility Pole Agreements. Terms and conditions of the agreement are detailed in NAVFAC P-73.

2. Procedures for Approval. The procedures for reviewing, approving, and executing a Public Telephone Facilities Agreement are identical with the procedures detailed in paragraph above for Utility Pole Agreements. Terms and conditions of the agreement are detailed in NAVFAC P-73.

D. Railroad Spur Track Agreement. A Railroad Spur Track Agreement obligates the railroad to provide specified railroad services between a point on its line and certain points within the Navy activity. The agreement grants the railroad the rights of access to the facility and rights of use in Government-owned trackage incidental to performance of its obligation.

1. Scope. A Railroad Spur Track Agreement differs from the previously defined agreements in that it provides a service to the involved Navy activity.

b. The support command or bureau, or the Commandant of the Marine Corps;

c. The Naval Supply Systems Command; and

d. The Military Traffic Management and Terminal Service.

3. Amendment or Termination of Agreement. Any action proposed to amend or terminate a railroad spur trackage agreement is subject to the approvals required above.

3.3.8 Disposal of Domestic Real Property. This section is concerned with the procedures and responsibilities for disposal of real and related personal property under the control of the Navy in the Unites States, Puerto Rico and the Virgin Islands. Disposal of foreign real and related personal property is covered in Paragraph 3.3.9.

A. Policy. It is the policy that real estate holdings of the Department of the Navy are limited to the minimum required to accomplish assigned missions. The real property shall be limited to the land area and the number and types of buildings, and other improvements essential to support the current missions and/or mobilization requirements.

Prompt disposal should be made of all real property not required to support current or foreseeable needs of the Navy.

B. Authority for Disposal. Authority to dispose of government-owned real property is derived from the Federal Property and Administrative Services Act of 1949. The General Services Administration is the disposal agency for all land and/or land and improvements with a fair market value of $1,000 or more. The authority has been successively delegated and redelegated to the Commander, NAVFAC for disposal of Navy real property as described hereinafter.

C. Methods of Disposal. Real property no longer required to fulfill an assigned mission may be:

1. Reassigned within the Department of the Navy.

2. Transferred to the Army, Air Force, or the Coast Guard.

3. Reported excess to the GSA, and thereafter transferred to Federal civilian agencies, or disposed of by competitive bidding or negotiated sale; and

4. Abandoned, destroyed, or donated to public bodies.

D. Excess Property Identification. Existing property holdings are evaluated under the Shore Installations and Facilities Planning and Programming System to determine if there is an existing or future foreseeable need for the Class 1 and 2 properties of the Naval Shore Establishment. If no such need exists, the property under consideration becomes available for disposal action.

as excess to the cognizant EFD who may after screening and obtaining requisite approvals proceed with disposal of the property. Refer to Chapter 4 of this manual for discussion of OPNAV Form 11000-5.

E. Reporting Excess Property. Reports of property excess to a support command must be submitted to the cognizant EFD. The reports are subject to the approval of the appropriate support command and the major claimant.

Excess property is to be reported on the forms described below. Examples of the forms, and additional instructions for their preparation are contained in NAVFAC P-73.

1. Standard Form 118 - Report of Excess Real Property, summarizes the excess and related personal property.

2. Standard Form 118A - Buildings, Structures, Utilities, and Miscellaneous Facilities describes the Class 2 property reported on Standard Form 118.

3. Standard Form 118B - Land, shall be used in all instances to report the details of excess land, reported on the Standard Form 118.

4. Standard Form 118C - Related Personal Property, reports the details concerning the excess related personal property (Class 3) reported on Standard Form 118.

F. EFD Responsiblities.

1. Screening. The EFD screens all excess Class 1 and 2 real property that has not deteriorated beyond economical repair and maintenance or determines if there are any potential users for the property. This screening process ordinarily proceeds simultaneously within and without the Navy.

2. Approvals. Activities desiring to obtain excess real and related personal property from naval activities other than within their own command will submit their request to the EFD outlining the requirements for the property. The EFD will then obtain the necessary approvals to effect the reassignment.

3. Disposal. Disposal by transfer to the Army, Air Force, or Coast Guard or report of excess to General Services Administration, on real property having a value of $50,000 or greater requires the approval of the Armed Services Committees of the Congress. Prior to reporting property as excess to DOD, the EFD will obtain requisite additional approvals including those of CNO, the Department of Defense and the Armed Services Committees of the Congress.

G. Special Disposal Actions. Disposal of certain special classes of property require fulfillment of extra procedures described in NAVFAC P-73. Examples of such special classes are:

1. Public Domain land;
2. Leaseholds, licenses, permits.
3. Easements.

disposal. The reporting activity is also responsible for the expense of such care, maintenance, etc., for not more than 12 months, plus the period to the first day of the succeeding quarter of the fiscal year after the date of acceptance by GSA of the formal report of excess. Any expenses incured by the reporting activity after that time are reimbursed by GSA. Attention is called to the fact that excess property is not "transferred" to GSA; it is "reported" to that agency for disposal action. The responsibilities cited above remain with the Department of the Navy.

Real property, once reported as excess property, must not be cannibalized or altered by the removal of fixtures, equipment or related personal property.

When disposal action has been completed, the activity copy of the Property Record should be forwarded by transmittal form NAVCOMPT 260 in accordance with the provisions of NAVFAC P-78.

3.3.9 Disposal of Foreign Real Property. This section is concerned with the procedures and responsibilities for disposal of real and personal property under the control of the Navy *outside* the United States, Puerto Rico, and the Virgin Islands.

A. Policy. It is the policy that real estate holdings of the Department of the Navy be limited to the minimum required to accomplish assigned missions. The real property shall be limited to the land area and the number and types of buildings, and other improvements essential to support the current mission and/or mobilization requirements.

Prompt disposal should be made of all real property not required to support current or foreseeable needs of the Navy. In addition, all disposals outside the Department of Defense must conform to the foreign policy of the United States.

B. Authority for Disposal. Authority to dispose of government-owned real property is derived from the Federal Property and Administrative Services Act of 1949 and certain treaties and other international agreements between the United States and foreign governments.

C. Methods of Disposal:

1. Reassigned within the Department of the Navy;

2. Transferred to the Army, Air Force, or the Coast Guard;

3. Reported excess to the GSA, and thereafter transferred to Federal civilian agencies, or disposed of by competitive bidding or negotiated sale; and

4. Abondoned, destroyed, or donated to public bodies.

D. Excess Property Identification. Existing property holdings are evaluated under the Shore Installations and Facilities Planning and Programming System to determine if there is an existing or future foreseeable need for the Class 1 and 2 properties of the Naval Shore Establishment. If no such need exists, the property under consideration becomes available for disposal action.

E. Reporting Excess Property. Reports of property excess to a support command must be submitted to the cognizant EFD. The reports are subject to the approval of the appropriate support command and the appropriate district or area commander.

Excess property is reported on the same documents discussed in paragraph 3.3.8E of this chapter.

F. EFD Responsibilities. The EFD screens all excess Class 1 and 2 real property within and outside the Navy for potential users, with the exception of property that has deteriorated beyond economical repair and maintenance.

1. Approvals. Prior to reassigning, transferring or disposing of excess real property the EFD must obtain the following approvals:

a. Foreign policy approvals;

b. Approvals where property value exceeds $25,000;

c. Approvals for special transactions.

Detailed procedures for obtaining the approvals are contained in NAVFAC P-73.

2. Disposal. With the receipt of all necessary approvals, the EFD may dispose of the real property by:

a. Reassigning it to other commands, offices, or headquarters;

b. Transferring it to the Army, Air Force or Coast Guard without compensation;

c. Transferring it, when excess to the needs of DOD, to other Federal agencies;

d. Sale of Class 2 property upon such terms and conditions as deemed proper by the EFD;

e. Donating to public or private bodies, or abandoning or destroying if donation is not feasible;

f. The provisions of any treaty or agreement between the United States and a foreign government.

G. Special Disposal and Termination Actions. Disposal of foreign excess leaseholds, licenses, and permits, including government-owned improvements thereon, must be effected in accordance with NAVFAC P-73.

H. Activity Responsibility. The holding activity retains custody and accountability for the excess and surplus real property, including related personal property, and is responsible for the physical care, handling, protection, maintenance, and repair of the property pending transfer to a Federal agency or disposal.

Real property, once reported as excess property, must not be cannibalized or altered by the removal of fixtures, equipment or related personal property.

Corps, or other DOD components occupy facilities at a Naval Shore Activity.

A host-tenant relationship exists when Class 1 or 2 real property is held by the host. Where such a relationship exists between Navy activities, or Navy and Marine Corps activities, no Host-tenant Real Estate Agreement or license is prepared. In lieu thereof, an Intraservice Support Agreement is used to reflect the respective responsibilities of each unit or activity.

B. Use of License. In most cases, the use of Navy property by units of other departments has been authorized by licenses, NAVDOCKS Form 2261.

A license may be issued unless there will be construction or installation of non-severable improvements; and when only non-exclusive use is granted; or exclusive use is granted for less than one year.

C. Host-Tenant Real Estate Agreement. A Host-Tenant Real Estate Agreement identifies in detail the specific facilities that the host provides for the use of the tenant. It is used when a Navy unit or activity provides exclusive (and joint) use of facilities to a unit or activity of another DOD department. If both parties concur, a Host-Tenant Real Estate Agreement may be used when another department provides exclusive use of facilities to a Navy unit or activity. An Interservice Support Agreement is used to describe the logistical and administrative functions, including funding responsibilities, to be performed by both parties and will be entered into an addition to the Host-Tenant Real Estate Agreement.

Host-Tenant Agreements executed, amended, modified and terminated, are prepared by the cognizant EFD's and reflect the desires of the unit or activity commanders involved. The agreements must conform to the provisions of NAVFACINST.11011.51 and SECNAV policy.

In addition, prior to execution of the agreements, they must be approved by:

The Navy or Marine Corps activity Commanding Officer;
The primary Support Command; and
The CNO and CMC, as appropriate.

The EFD is responsible for securing the approvals. A specimen Host-Tenant Real Estate Agreement is attached as Appendix A to this chapter.

3.4.2 Support Agreements:

A. Preparation of Agreements. The EFD's function in regard to preparation of support agreements is advisory,. except in the case of Armed Forces Reserve Centers. In the latter case, the agreement is prepared in consultation with the commanders concerned and executed by the EFD.

1. Interservice Support Agreements are prepared on DD Form 1144 and specially define the parties responsibilities for the logistical and administrative (including

funding) functions. A checklist of services generally to be considered by the respective parties for negotiation and inclusion in an agreement is appended to NAVFACINST.11011.51. The Interservice Support Agreements must conform to Defense Retail Interservice Support (DRIS) Manual, DOD 4000.19M.

2. **Intraservice Support Agreements** may be prepared on DD Form 1144. They are similar in content and structure to an Interservice Support Agreement. Unlike, the Interservice Support Agreement, the Intraservice Support Agreement is not subject to the DRIS Manual 4000.19M. A specimen Intraservice Support Agreement is attached as Appendix B to this chapter.

3. **Host Activity Responsibility.** The host activity must plan for timely and effective response to requests of the tenant activity for the services provided for in the support agreement.

The Public Works Department has a particularly vital role in the support of tenant activities. As PWO, you should expect your supervisor personnel to be intimately familiar with their responsibilities in the matters pertaining to maintenance of buildings and grounds, utilities, transportation and telephone service. Further, in preparing the Public Works Department budget, they should quantify:

The services to be provided and funded by the host; and

The services to be provided by the host but funded by the tenant on a reimburseable basis.

PART 5 - UTILIZATION OF REAL PROPERTY

A. Background. Executive Order 11954, which superseded and cancelled Executive Order 11724 and 11508, tasks the General Services Administration (GSA) with conducting surveys of real property held by Federal agencies on a continuing basis and making reports to the President, through the Federal Property Council, describing any property or portion thereof which has not been reported excess to the requirements of the holding Federal agency and which, in the judgement of GSA is either not utilized, under-utilized, or is not being put to the optimum use, and which GSA recommends should be reported excess.

B. Information. Most Naval activities have undergone real property surveys, either on an informal or formal basis over the last three years. Additionally, DOD and Navy Inspector General have conducted real property surveys under the provision of Executive Order 11954, reporting their findings and recommendations relative to the utilization of real property to the office of Management and Budget.

C. Activity Responsibilities. Commanding Officers of shore activities holding Class 1 and 2 real property are required to conduct an Annual Land Utilization Survey of their activity in accordance with OPNAVINST 11011.10 (current). Specific guidelines for the format and data required in the Annual Utilization Report are contained within OPNAVINST 11011.10 (current).

PART 6 - NATURAL RESOURCES MANAGEMENT

3.6.1 Background.

A. Policy. The Department of the Navy, as an important occupier of Federal lands, has an obligation to the American people to responsibly and effectively manage and conserve the renewable natural resources of the lands, and waters under its control.

Accordingly, it is the continuing policy of the Navy to preserve, restore, and improve the natural resources of the lands and water areas of all Navy installations and facilities. Further all installations and facilities with appropriate land and water areas are to have active, progressive programs for the management and conservation of natural resources.

B. Definition. Natural Resources includes soil, water, forests and woodlands, fish and wildlife, grasslands, landscaping, outdoor recreation, and natural beauty.

3.6.2 Soil and Water Management

A. Plans. This program is concerned with grounds, improved, semi-improved, and unimproved, and water areas. It requires development of the following procedures plans:

Soil and Water Conservation (land management) Plans
Landscape Development Plans
Fire Prevention Plans
Outleased Land Plans
Grounds Maintenance Plans

1. **The Soil and Water Conservation Plan** should provide an inventory of important increments of land use, and describe the methods, procedures, techniques, materials, and personnel required for development, improvement, maintenance of grounds and other soil and water conservation and management practices. The plan must be updated as required, and continuously applied in an orderly and timely manner.

2. **The Landscape Development Plans** should be functional in nature; simple and informal in design, compatible with the adjacent surroundings, result in low maintenance requirements and enhance the overall natural beauty of the area.

3. **The Fire Prevention Plan** should incorporate the fire prevention and suppression measures. The measures must be applied continuously and be coordinated with federal, state, county, municipal, or other community agencies, as appropriate.

4. **The Outleased Land Plan** should incorporate natural resources conservation and outdoor recreational facilities for the outleased land. The requirements should be an integral part of the lease agreement.

5. **Grounds Maintenance Plan** shall provide for the proper maintenance of all grounds and include frequency of mowing, height and kind of equipment to assure a satisfactory appearance at the lowest cost.

FIGURE 3-4
TIMBER HARVESTING OPERATIONS

resources, and assure a pleasing appearance. Buildings can be beautified by planting trees, shrubs and flowers.

2. **Semi-improved grounds** should be maintained at a lesser degree than improved grounds but at a level that will enhance natural beauty, conserve natural resources, reduce vegetative fire hazards and meet its designated use.

3. **Unimproved grounds** should be maintained only at level that will maintain and enhance natural beauty, conserve natural resources, and prevent erosion and suppress fires.

4. **Special ground cover,** such as crushed rock, gravel or other materials, may be necessary to prevent wind and water erosion in areas where rainfall is insufficient to support vegetation.

5. **Irrigation** may be necessary in areas where supplemental water is essential to established lawns and other improved type vegetation.

6. **Weeds and poisonous plants** should be controlled or destroyed when they interfere with safe and efficient land use, endanger the health and welfare of personnel, or constitute a source of infestation to adjacent property.

3.6.3 Project Proposals and Construction. Soil problems, water management, runoff disposal and planting or landscaping requirements should be fully considered in all site feasibility studies and project planning, design and construction. When required the scope of conservation work and funds involved should be included in the project proposals and construction contracts.

3.6.4 Forest Management

A. Management Plan. A technical management plan must be established and maintained at all activities that have land areas suitable for forest resources management programs. Such plans should be developed by professional foresters within the Department of the Navy, or with the aid of Federal or State Forestry agencies or consulting foresters where additional assistance is needed. The plans should be consider:

1. Timber area access roads;

2. The effects of timber management practices on soil, water, fish and wildlife; watershed management; and enhancement of natural beauty and recreation;

3. Natural and artificial regeneration of desirable tree species;

4. Protection against wild fires, animal damage, and injurious insects and diseases;

5. Salvage and disposal of dead or dying timber;

6. Scheduled harvest in accordance with technical standards and guides;

7. Planning harvest to achieve:

a. Optimum use of current and future markets; and

b. Desirable composition of residual stands;

8. Cultural treatments.

B. Timber Production. The use of forests for sustained yield production involves:

1. Accumulation of forest resource data necessary for scientific management of the area;

2. Harvesting on a sustained yield basis so as to achieve periodic harvest of the allowable cut of timber from the land.

3. Silviculture - the management practices of producing and caring for a forest.

Timber production and forest recreation can be compatible uses of an area but some adjustments in both activities may be necessary to obtain maximum potential.

The harvest of timber by sale for sawtimber, poles, pulpwood, or other convertible products can produce a significant income to the federal government, as well as improve the timber stand for future harvests.

3.6.5 Fish and Wildlife Management. The management plan should provide for a continuing program of fish and wildlife habitat management, and the integration of the aspects of natural beauty and conservation of other natural resources. Public access should be permitted except where inconsistent with security or safety reasons.

The U.S. Code and public laws require that the Navy plans be compatible with the management plans of Federal and State fish and wildlife agencies. Further, hunting, fishing, and trapping at Navy activities must be in accorance with the fish and game laws of the state in which it is located.

A. Fish Management. Habitat control and improvement should be the means of perpetuating and improving the fisheries resources. Streams whose values for fish have been destroyed by pollution, channelization, or other activities should be rehabilitated to the extent possible. Aquatic weeds and undesirable fish species should be controlled.

B. Wildlife Management. Habitat control and improvement should be the basic tool for wildlife management. Artificial stocking should be considered only in special cases, and then only upon the advise and guidance of State or Federal wildlife officials. All precautions and measures necessary should be taken to prevent extermination of any species of wildlife, including predators. Provisions should be made for adequate harvest game species by hunting where control is necessary, and where safety and security permits, by military and civilian employees, and the public.

3.6.6 Pollution and Pesticide Control

A. General. In addition to health and welfare measures for Naval personnel, shore activity functions must not adversely affect neighboring civilian populations or the environment. Because of the close relation existing between health protection measures and natural resources management, continuing cooperation and coordination of these functions must be maintained.

B. Air and Water Pollution. Environmental pollution may affect human health. It also may, through direct or indirect alteration of the environment, render it unfit for recreation, adverseley affect supplies of water, agriculture or Federal agencies and their contractors are required to comply insofar as practicable with local, state, and interstate health and pollution abatement authorities. Naval activities are responsible for cooperative efforts in conjunction with the Environmental Protection Agency and local and state authorities.

C. Pesticides. The President's Science Advisory Committee sanctions the carefully controlled use of pesticides and the exercise of precautionary measures to insure that harmful effects do not result to plants, animals, vegetation, and aquatic life beneficial to man. The Armed Forces Pest Control Board functions as the coordinating activity in the DOD for pest control and is the principal advisory body to all DOD agencies and activities on all matters relating to pesticide use, including those pertaining to the problems of resource conservation and management.

3.6.7 The Secretary of Defense Conservation Award

A. Objective. The objective of the Award is to stimulate and provide added incentive for the development, maintenance and improvement of natural resources and to enhance the natural beauty of DOD activities.

B. The Award. The Navy annually presents first place awards to an activity making the most progress in the past 3 calendar years in 2 categories, over 5,000 acres and under 5,000 acres. An activity is also selected to represent the Navy in the Department of Defense Award Program.

C. Nomination. Navy installations having active, progressive conservation programs for the development, management and enhancement of renewable natural resources are encouraged to submit, annually, a Conservation Award Nomination Report to the Commander, NAVFAC. A first place winner is selected from Navy installations containing more than 5,000 acres and a first place winner is selected from Navy installations containing 5,000 acres or under. One Navy nominee is selected to compete for the Secretary of Defense Conservation Award and forwarded by NAVFAC to DOD for consideration. The awards are based on the greatest progress or inauguration of the best conservation program with the natural resources available.

D. Nomination Factors. NAVFACINST 11015.14 describes the necessary information required to submit nominations for competition.

3.6.8 Program Responsibilities:

A. NAVFAC. The Commander, NAVFACENGCOM has been assigned the responsibility for developing and implementing of natural resources programs on all land and water seas under the jurisdiction of the Navy. (OPNAVINST 11015.1 (current)).

B. EFDs. To effectively discharge this responsibility, NAVFAC has established Natural Resources Management Branches in the Engineering Field Divisions, and delegated to them the responsibility for developing, coordinating, directing and implementing appropriate natural resource programs for the naval shore activities. Through the EFD's, liaison and cooperative relationships are maintained with state, federal, and private agencies in the natural resources

C. Activity Commanders. The heads of the Naval activities are responsible for supporting the conservation policies and programs, and making full use of the professional assistance available in the EFD staffs.

(Installation)

THIS AGREEMENT between the Department of the _____ (hereinafter called HOST) and the Department of the _____ (hereinafter called TENANT) provides for the use by the Tenant of Facilities at the _____, in connection with the _____.

1. TENANT shall have exclusive use of the areas, containing _____ acres, more or less, delineated with legend on Drawing No. _____, marked Exhibit "A", attached hereto and made a part hereof, (add buildings and cite other other exhibits as appropriate);

2. TENANT shall have the right to use in common with HOST, and with such other parties as HOST may authorize:

(a) An area of _____ acres, more or less, delineated with legend on said Exhibit "A", (add buildings and cite other exhibits as appropriate);

(N.B. - Code 071 normally will have NAVFAC EFD responsibility for processing and preparation of this document.)

(b) All roads (other than that described in Exhibit "__") and all water, electric power, and signal lines, as shown on said Exhibit "A".

3. Siting of TENANT facilities shall conform with the Station Master Plan except as otherwise provided in writing by HOST. Standards of design and construction shall conform with criteria and directives of HOST.

4. Property accounting shall be in accordance with procedures prescribed by Navy Comptroller Manual (Ref. DODINST 4165.14 of 21 December 1966). Financial responsibility for maintenance of real property used under this Agreement shall be in accordance with SECNAVINST 7020.4B/AR37-19/AFR 172-3 of 22 April 1969; and SECNAVINST 4000.20B/AR 1-35/ AFR 400-27 of 29 June 1973.

5. In addition to this Host-Tenant Real Estate Agreement, there also shall be a separate Interservice Support Agreement prescribing the respective operations and services to be performed by HOST and TENANT. The financial responsibilities under the Support Agreement shall be in accordance with SECNAVINST 7020.4B/AR 37-19/AFR 172-3 of 22 April 1969, and SECNAVINST 4000.20B/AR 1-35/AFR 400-27 of 29 June 1973.

6. Prior to the initiation of any major structural changes in a building and/or demolition or removal of a structure, TENANT shall obtain written authorization therefor from HOST. Upon revocation, expiration or surrender of this Agreement, and to the extent directed by HOST, TENANT shall remove all alterations, additions, betterments and improvements made, or installed, and restore the premises or facilities to the same or as good condition as existed on the date of entry under this Agreement, reasonable wear and tear excepted. (When appropriate, the following optional paragraph 6 should be used in place of the foregoing:)

7. Prior to the initiation of any major structural changes in a building and/or demolition or removal of a structure, TENANT shall obtain written authorization therefor from HOST. Permanent structural changes additions or installations accomplished and financed by TENANT during occupancy shall remain in place (and be left in condition comparable with

8. The land and improvements, existing and to be constructed, shall be carried on the Inventory of Military Real Prope of the HOST. (NOTE: If new construction is to be carried on the Inventory of the TENANT, this paragraph shall be modif to so state.)

THIS AGREEMENT shall be effective _____ and remain in effect until _____* unless sooner terminated by the Secretary of the _____. (*NOTE: For Agreements of indefinite te state "until terminated by mutual consent.")

FOR THE DEPARTMENT OF THE

_____

Concurrences:

By_____

_____

(CO, HOST Unit)

(Date)

_____

(Date)

FOR THE DEPARTMENT OF THE

_____

_____

(CO, TENANT Unit)

By_____

_____

(Date)

(Date)

INTRASERVICE SUPPORT AGREEMENT

SUPPORT AGREEMENT

1. DOCUMENT IDENTIFIER ("X" one): ☐ NEW ☐ ANNUAL UPDATE ☒ REVISION ☐ DELETION — 2. AGREEMENT DATE (No. & Yr): 0375

3. SUPPLYING ACTIVITY (Name & Complete Address):
Commanding Officer
Naval Construction Battalion Ctr.
Port Hueneme, CA 93043

3a. MAJOR CMD CODE: N00025

3b. SUBORDINATE COMMAND CODE: N62583

4. SUPPORT AGREEMENT NUMBER (DODAAD, Ordinal Date, Serial Number)
4a. PRESENT: N62583-75084-107
4b. SUPERSEDED: N62583-005-0

5. TYPE OF AGREEMENT ("X" one): ☐ INTERSERVICE ☐ INTERDEPARTMENTAL ☒ OTHER

6. EFFECTIVE DATE (No. & Yr): 1 June 1975

7. TERMINATION DATE (No. & Yr): 31 May 1978

8. RECEIVING ACTIVITY (Name & Complete Address):
Commanding Officer
Naval School Civil Engineer Corps Officers
Port Hueneme, CA 93043

8a. DODAAD NUMBER
8b. MAJOR CMD CODE
8c. SUBORDINATE CMD CODE

9. SUPPORT AGREEMENT RESOURCE SUMMARY

a. CATEGORIES (See reverse for codes)	HOST b. MAN YEARS MILITARY	HOST b. MAN YEARS CIVILIAN	HOST c. GROSS ADDITIONAL COST	TENANT d. MAN YEARS MILITARY	TENANT d. MAN YEARS CIVILIAN	TENANT e. VALUE OF RESOURCES PROVIDED BY THE TENANT
AA						
AW						
BB						
BC						
AB-AC-AH	Common Service Items					
AI-AJ-AM						
AO-AP-AY						
BD-SG-SN						
TOTAL			-			-
f. NET ADDITIONAL COSTS →			-	e. NET ADDITIONAL COSTS →		-

10. SAVINGS ACCRUED AND/OR COSTS INCURRED TO FEDERAL GOVERNMENT

SAVINGS	COSTS	REMARKS
-	-	-

11. FUNDING & REIMBURSEMENT ARRANGEMENT

12. COMPTROLLER SIGNATURE CONCURRENCE (Supplier): E. M. Rostohar

13. COMPTROLLER SIGNATURE CONCURRENCE (Receiver)

14. TYPED NAME & POSITION OF LOCAL OFFICIAL FOR SUPPLIER — 14a. SIGNATURE — 14b. DATE

15. TYPED NAME & POSITION OF LOCAL OFFICIAL FOR RECEIVER
O.L. DIXON III, CAPTAIN, CEC, USN
COMMANDING OFFICER
15a. SIGNATURE: O. L. Dixon III
15b. DATE: 4 April 75

16. TYPED NAME & POSITION OF SUPPLIER APPROVING AUTHORITY
P. W. Forehand, Captain, CEC, USN
Commanding Officer
16a. SIGNATURE: P. W. Forehand
16b. DATE: 4/8/75

17. TYPED NAME & POSITION OF RECEIVER APPROVING AUTHORITY — 17a. SIGNATURE — 17b. DATE

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Categories of Support Services Administrative and Logistical Support Services

AA	Computer & Data Processing
AB	Finance & Accounting
AC	Military/Civilian Personnel
AD	Legal
AE	Mail Pick-up and Delivery
AF	Custodial
AG	Purchasing/Contracting
AH	Fire Protection
AI	Police Protection
AJ	Housing/Lodging
AK	Laundry/Dry Cleaning
AL	Medical/Dental
AM	Messing
AN	Storage/Warehousing
AO	Transportation
AP	Utilities
AQ	Mortuary
AR	Stevedoring
AS	Calibration of Precision Instr.
AT	Terminal Operations
AU	Administrative Office Space
AV	Education Services
AW	Civil Engineering
AX	Property Disposal Services
AY	Administrative Services
AZ	Information Office Services
BA	Religious Services/Chaplain
BB	Safety
BC	Communication Services
BD	Community Services
BE	Logistic Air Support
BF	Officer/NCO Club Service
BG	Social Actions
BH	Search & Rescue
BI	Test & Evaluation
BJ	Weather Service
BK	Aerial/Photography
BL	Geodetic Support

SUPPLY SUPPORT CATEGORIES		MAINTENANCE SUPPORT CATEGORIES
SA	Aircraft	MA
SB	Aircraft Equipment & Components	MB
SC	Ammunition	MC
SD	Ordnance Equipment & Components	MD
SE	Clothing & Textiles	ME
SF	Communication Equipment & Components	MF
SG	Vehicles	MG
SH	Vehicular Equipment & Components	MH
SI	Construction Equipment & Components	MI
SJ	Materials Handling Equipment & Components	MJ
SK	Fire Fighting Equipment & Components	MK
SL	Electrical Equipment & Components	ML
SM	Electronic Equipment & Components	MM
SN	General Supplies	MN
SO	Medical/Dental Equipment & Components	MO
SP	Missiles	MP
SQ	Missile Equipment & Components	MQ
SR	Parachutes	MR
SS	Photographic Equipment & Components	MS
ST	Petroleum, Oils, Lubricants & Chemicals	MT
SU	Railroad Equipment & Components	MU
SV	Ships & Vessels	MV
SW	Subsistence Supplies	MW
SX	Life Support Equipment	MX
SY	Office Machine Repair	MY
SZ	Industrial Plant Equipment	MZ

1. **General.** The parties of this agreement are the Commanding Officer, Naval Construction Battalion Center, Port Hueneme, California, hereinafter referred to as the HOST, and the Commanding Officer, Naval School Civil Engineer Corps Officers, Port Hueneme, California, hereinafter referred to as the TENANT.

2. **Authority.** This agreement is entered into pursuant to the following directives and letters insofar as they are applicable:

a. NAVCOMPT Manual, Volume 7.

b. NAVFACINST 11011.51, Subj: Host-Tenant Real Estate Agreements, Interservice and Intraservice Support Agreement; preparation and execution of.

c. CNTECHTRAINST 5450.21, Subj: Naval School CEC Officers; mission and functions of.

d. Defense Retail Interservice Support Manual, DOD 4000.19M.

e. Admiral Ben Moreell, CEC, USN (Ret) ltr of 19 May 1969.

f. COMNAVFACENGCOM ltr 0652/WPD ser 249 of 24 April 1974; Subj: Publication Supervision of the Navy Civil Engineer Magazine.

3. **Terms and Conditions**

a. The primary support responsibilities as provided under the provisions of this agreement are listed in Appendix I, with reimbursement as indicated.

b. Support services will be provided consistent with the capabilities and resources of the HOST.

c. The cost of services and work performed will be funded on a properly executed DoD funding document on a quarterly basis. Billings will be issued monthly on a Standard Form 1080 for reimbursable items accrued during the preceding month.

d. The TENANT will comply with all HOST directives and regulations applicable to the support services provided.

e. Reimbursement by the TENANT will be limited to the additional costs incurred by the HOST as a result of support and services provided to the TENANT when they can be identified without unreasonable expense or difficulty.

4. **Review, Revision, Modification or Cancellation**

a. This agreement will be reviewed at least annually by each party to evaluate its effectiveness and currency and to determine need for modifications.

b. This agreement is subject to modification prior to annual review by written request forwarded by one party to another at least 90 days prior to the effective date of such modification.

c. Notification of the intention of either party to terminate this agreement will be by written notice to the other party normally at least 180 days prior to the effective date of termination.

d. In the event of mobilization or other emergency, this agreement shall remain in force subject to normal cancellation provisions.

e. None of the terms or provisions of this agreement are intended to conflict with or supersede instructions from higher authority. In the event such a conflict exists/arises, the cognizant party will initiate modification action to eliminate such conflict.

AA	Computer and Data Processing		
AB	Finance and Accounting	Provide accounting and payroll services.	Provide HOST all accounting information and/or documents required in support of TENANT requirements.
AC	Military/Civilian Personnel	a. Provide all military personnel administrative services.	a. -----
		b. Provide civilian personnel services as stipulated in attached Civilian Personnel Staff Services Agreement.	b. Comply with the terms of the Civilian Personnel Staff Services Agreement.
AH	Fire Protection	Provide firefighting and prevention services.	-----
AI	Police Protection	Provide normal security services, including investigations, personnel and vehicle passes, and identification cards.	-----
AJ	Housing/Lodging	Provide family housing, BOQ/BEQ accommodations on the same basis as provided for HOST personnel.	-----
AM	Messing	Provide messing facilities for enlisted personnel.	-----
AO	Transportation	Provide on-Center taxi service.	-----
AP	Utilities	Provide utilities, both purchased and station generated.	-----
AW	Civil Engineering	a. Provide all normal cyclical maintenance and repair of plant facilities to ensure the structural integrity of the plant.	a. Reimburse HOST for all alterations, improvements, and additions to the plant requested by the TENANT.
		b. Maintain and repair office furniture and fixtures, classroom and training devices, and other minor property, including installation and/or moving.	b. Reimburse HOST for all costs.
		c. Provide janitorial supplies; pest control, trash and refuse	c. -----

		d. Perform facilities planning, project preparation; planning and estimating and engineering services as requested.	d. -----
AY	Administrative Services	Exercise overall administrative control over entire Center and facilities including jointly used HOST land and facilities.	Exercise administrative control over TENANT facilities. Exercise operational control over buildings and facilities assigned for exclusive use of TENANT.
BB	Safety	a. Provide automotive accident and industrial accident (personnel) investigations.	a. -----
		b. Administer a Center-wide Safety and Accident Prevention Program. Perform periodic inspections, surveys, safety engineering studies, job hazard analyses, and safety presentations. Administer the Federal Employees Compensation Act and Industrial Health Care Programs.	b. -----
		Provide industrial accident investigation services (government material loss). Provide for maintenance of safety equipment.	-----
		c. Provide protective equipment, including safety glasses, as requested and available, and promotional and training material.	c. Reimburse HOST for readily identifiable labor, material, and contract professional service costs.
BC	Communication Services	Make available such existing telephone service as may be required to conduct normal business.	Reimburse HOST for TENANT toll calls.
BD	Community Services	Provide exchange stores, clubs, recreation facilities, legal services, and other personnel services/facilities on the same basis as provided for HOST personnel.	-----

		purpose vehicles as available from HOST allowance.	
SN	General Supplies	Provide supply services including but not limited to the facilities for requisitioning, supplying and procuring general stores items and local purchases, etc.	-----
Miscellaneous		Provide TENANT with miscellaneous services as requested.	Reimburse HOST for miscellaneous out-of-pocket costs incurred as a result of TENANT requests provided that these costs can be readily identified.

1. Pursuant to the responsibility of command and consistent with the spirit and intent of the Civilian Manpower Management Instructions, this agreement sets forth the basic policy on the civilian personnel services rendered to CECOS by CBC. This agreement also establishes the specific services to be furnished by CBC to CECOS. This agreement is founded upon the traditional line-staff relationship described in Navy Regulations, General Order 19, Civilian Manpower Management Instructions, and many other derivative documents and places upon that definition no new or unusual interpretation.

2. The services to be furnished by CBC will normally be rendered by the Director, Civilian Personnel Office. When CBC is mentioned with respect to specific services, it is understood that the CPO is specifically referred to.

3. Whenever this agreement requires signatures, approvals, authentication or similar executive actions by CECOS, the term CECOS means the Commanding Officer, CECOS; the Executive Officer, CECOS; any person acting in these capacities; or any other person acting under authority delegated by the Commanding Officer, CECOS. No such delegation shall be effective as to any person having a primary duty station other than CECOS, unless made in writing.

4. The Commanding Officer, CECOS, is the appointing officer and has classification authority for CECOS, regardless of procedure or methods for the employment of that authority, and regardless of the place of preparation of personnel action documents respondent to it. Matters of form of procedure, no matter how important or necessary, cannot dilute nor diminish authority. In these matters, as in all civilian personnel matters, CEC may be called upon, from time to time, to advise the Commanding Officer, CECOS, in the manner customary to any line or staff relationship.

5. CBC will provide the necessary staff services for civilian personnel functions for CECOS as covered in the Civilian Manpower Management Instructions. It is expected that such staff services will encompass the entire Civilian Manpower Management Instructions. Since the final accountability for these functions remains with CECOS, CBC will:

(a) Prepare all reports and correspondence concerning civilian personnel matters which concern CECOS alone and will submit them to CECOS for signature. CBC will furnish to CECOS an information copy of all combined reports which pertain in part to CECOS.

(b) Maintain all manuals, directives or other material applicable to CECOS civilian personnel in a current status available for use by CECOS personnel. CBC will notify CECOS of the issue of any official instruction, notice, executive order or other document which bears with any particular significance upon CECOS civilian personnel. When such directives require reply by CECOS, such correspondence will be prepared by CBC and submitted to CECOS for signature.

(c) Maintain personnel records of CECOS civilian employees. Any additions to the personnel records of an individual employed by CECOS will be brought to the attention of CECOS. When authentication is required or appropriate it shall be made by CECOS. (This does not apply to any routine personnel action established by law, periodic step increases, etc., or to any personnel action formalized by the CPO after written authority has been issued by CECOS, i.e., SF 52 requesting a SF 50 be used.)

(d) When requested, assist CECOS in defining classifying and filling of wage grade positions. All classification documents will be signed by the Commanding Officer, CECOS, in his capacity as the classifying officer for CECOS.

6. CBC will prepare, for signature and release by CECOS, instructions and notices to promulgate properly to CECOS personnel information concerning the CECOS Civilian Personnel Program. Such directives shall be submitted in draft for review by CECOS. Where the subjects involved are not of a policy nature and where there is reason to expect that the content of such documents will not vary from a similar CBC document, the CBC Instruction or Notice may be made applicable to CECOS by means of an endorsing stamp placed on the document and signed by CECOS. If CBC determines this approach to be an appropriate means of eliminating duplication, a draft of the proposed CBC document will be forwarded for review by CECOS prior to its issuance to obtain CECOS management concurrence.

7. It is recognized that in the performance of civilian personnel functions the advice or technical opinion of various Naval or other governmental offices may be necessary to prudent management. CBC will request such advice, when needed, with the express prior approval of CECOS. This policy extends to any resident, detached representative of such Naval or governmental board, commission, office whether at the departmental, regional, district or local level. CECOS will sign all such correspondence prepared by CBC and will authorize, in advance, all other forms of correspondence whenever appropriate.

8. In order that CBC may be fully cognizant of all actions and correspondence relating to CECOS civilian personnel, CECOS will furnish to CBC a copy of all pertinent incoming correspondence and will staff all related outgoing correspondence through CBC.

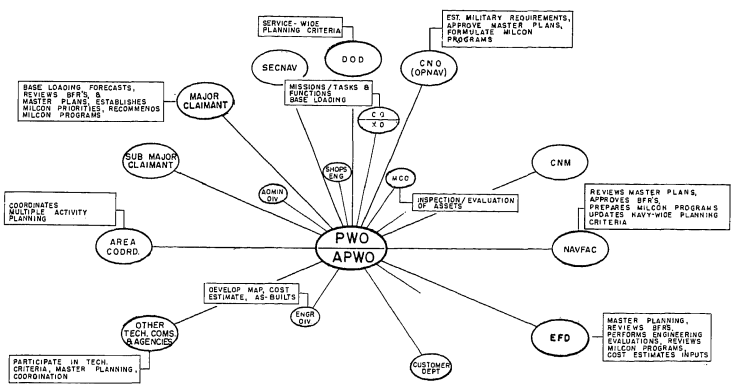
9. CBC will suggest to CECOS (at any time) additions and modifications to this agreement which in its opinion will add to the full understanding and/or usefulness of its substance.

CHAPTER 4
FACILITIES PLANNING AND PROGRAMMING

Facilities planning and programming represents one of the most dynamic aspects of facilities management. The goal of facilities planning is to support the Navy's operational commitments, and to insure that the proper types of facilities are available at the right place at the right time. This responsibility requires the Public Works Officer or Staff Civil Engineer to become intimately familiar with their activity's mission, to insure that the planning effort is properly managed.

This Chapter addresses facilities planning in three specific areas: The Shore Facilities Planning System, MILCON Programming, and Master Planning. Each of these is closely related, but they accomplish very different specific purposes. Part 1 describes the Shore Facilities Planning System, which provides an organized method of identifying valid deficiencies that must be corrected, and surplus facilities that should be eliminated. Part 2 discusses MILCON Programming, which begins the moment that a project is selected to go before Congressional review for approval and funding as part of the Navy's Planning, Programming, and Budgeting System. Part 3 addresses Master Planning, a process and a product designed to insure that an activity grows in a logical and well planned fashion.

Shore Facility Planning and Programming involves the active participation of many different players as illustrated to Figure 4-1. NAVFAC and the Engineering Field Divisions are responsible for the technical adequacy of the Navy's facility plans. Major Claimants and Sub-major claimants make priority decisions among their individual activities, and must guide and support the activities planning efforts. The Chief of Naval Operations ultimately decides how the Navy's resources should be apportioned to various functions, including the maintenance and construction of the shore establishment. However, the most important burden rests with the Navy activity to initiate a sound facility planning program, to keep it current, and aggressively pursue correction of the problems that are identified.



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2. OPNAVINST 5430.29 (current), Subj: *Designation of OPNAV Coordinators for Shore (field) Activities Under the Command of the Chief of Naval Operations*
3. OPNAVINST 6240.3 (current), Subj: *Navy Environmental Protection Manual (Scheduled to be published CY 1975)*
4. OPNAVINST 11010.1 (current), Subj: *Shore Installations and Facilities Planning and Programming*
5. OPNAVINST 11012.2 (current), Subj: *Habitability and Occupancy Criteria for Bachelor Housing*
6. OPNAVINST 11010.20 (current), Subj: *Facilities Project Manual*
7. OPNAVINST 11010.22 (current), Subj: *Evaluation of Flood Hazards at Naval Shore (field) Activities*
8. OPNAVINST 11010.24 (current), Subj: *Approval of Master Plans*
9. OPNAVINST 11010.31 (current), Subj: *Department of the Navy Utility System Improvement*
10. OPNAVINST 11010.5 (current), Subj: *Navy Military Construction Review Board*
11. OPNAVINST 11011.12 (current), Subj: *Safeguarding Navy Investment in Real Property*
12. NAVFACINST 7040.3 (current), Subj: *Collateral Equipment Program*
13. NAVFACINST 8020.2 (current), Subj: *Site Approvals for Ammunition Facilities*
14. NAVFACINST 8020.3 (current), Subj: *Siting of Facilities to Preclude Electromagnetic Radiation (EMR) Hazards*
15. NAVFACINST 11010.14 (current), Subj: *Program Cost Estimates for Military Construction Projects*
16. NAVFACINST 11010.29 (current), Subj: *General Development Maps*
17. NAVFACINST 11011.32 (current), Subj: *Military Construction Program Projects; Preparation of Supporting Documents*
18. NAVFACINST 11010.44 (current), Subj: *Shore Facilities Planning Manual*
19. NAVFACINST 11010.45 (current), Subj: *Master Plans for Navy and Marine Corps Shore Activities*
20. NAVFACINST 11010.53 (current), Subj: *Economic Analysis of Proposed Military Construction Investments*
21. NAVFACINST 1011.57 (current), Subj: *Site Approvals for Naval Shore Activities*
22. NAVFACINST 11010.61 (current), Subj: *Real Property Inventory Procedures for Reassignments*
23. NAVFACINST 11010.63, *Planning Services for Navy and Marine Corps Installations*
24. NAVFACINST 11310.41 (current), Subj: *Utilities Improvement Program*
25. SECNAVINST 7041.3 18 Oct 72, Subj: *Economic Analysis and Program Evaluation for Resource Management*
26. NAVFAC P-72, *Category Codes for Navy Facility Assets*
27. NAVFAC P-73, *Real Estate Administration*
28. NAVFAC P-78, *Navy Facility Assets (NFA) Data Base Manual*
29. NAVFAC P-80, *Facility Planning Factors for Naval Shore Activities*
30. NAVFAC P-164 of 30 June (current year), Subj: *Detailed Inventory of Naval Shore Activities*
31. NAVFAC P-272, *Definitive Designs for Naval Shore Activities*
32. NAVFAC P-328, *Military Construction Program Management*
33. NAVFAC P-347, *NAVFAC Documentation Index*
34. NAVFAC P-438, *Historical Military Construction Cost Estimating Data*
35. NAVFAC P-442, *Economic Analysis Handbook*
36. NAVFAC P-448, *Military Construction Cost Engineer Data*
37. OPNAV P09B3-105 (current), *Catalog of Naval Shore Activities*
38. *Military Construction Program Reports (current) 1357, 1357A, 1348, 1360*
39. NAVCOMPT Manual, Vol. 2, Chapter 5, Subj: *Unit Identification Codes*
40. Design Manual

For the purpose of this chapter the following definitions are applicable.

ACTIONS (FPD Planning)

Descriptive planning terms used in the Planning Analysis section of the Facility Planning Document, which when implemented, will result in the following:

1. Reduce the facility deficiency by acquisition of facilities (i.e., conversions from other category codes, leases, or new construction).

2. Reduce the facility surplus by dispositions of facilities (i.e., leases, conversions to other category codes, reassignments, and demolitions).

3. Provide for the optimum utilization of existing facility assets to support the mission-derived Basic Facility Requirements prior to considering new construction as an alternative.

4. Provide a reference file to extract Facility Planning Action Reports from an activity's Facilities Requirements Plan to depict excesses, planned construction, etc.

5. Provide documented support for subsequent project submissions and excessing actions as necessary to implement the Facilities Requirements Plan.

ADDITION

Addition, expansion, and extension each constitute a physical increase to a real property facility that adds to the overall external dimensions of the facility. As a general rule, if the dimensions used to record the facility in inventory are increased, then an addition has occurred.

ADEQUATE (CONDITION)

An "ADEQUATE" facility is fully capable of supporting its current use without modifications or repairs which require approval and funding beyond the authority of the activity's commanding officer.

ALTERATION

An alteration is the work required to adjust interior arrangments, on-base location, or other physical characteristics of an existing real property facitlity so that it may be more effectively adapted to or utilized for its designated purpose.

ALTERNATE HOST

When a host activity (host A) or a tenant of that host requires facilities that are on the plant account of another host (host B), host A or its tenant is said to have facility requirements at an "alternate host" (host B) location.

BASIC FACILITY REQUIREMENTS

The Basic Facility Requirements for a shore activity is the title used for the aggregate facility requirements, listed by category code and quantity, which are necessary to perform its mission.

CATHODE RAY TUBE (CRT)

The data base terminal, consisting of a keyboard and screen to change and view data base elements of the Shore Facilities Planning System.

COMMUNITY ASSET

A non-government-owned facility available to the military such as private housing and other personnel support facilities in the 730-750 series category codes in the civilian community.

CONSTRUCTION

Construction is the erection, installation, or assembly of a new facility; the addition, expansion, extension, alteration, conversion or replacement of an existing facilty; or the relocation of a facility from one installation to another. Construction includes equipment installed in and made a part of such facilities, and related site preparation, excavation, filling and landscaping, or other land improvements.

CONVERSION

A conversion is a major structural revision of a real property facility that changes the functional purpose for which the facility was originally designed or used. A conversion results in a change to the basic real property facilities three digit category code currently assigned to the facility. Two elements are necessary for conversion: (a) a major structural revision and (b) change in functional purpose.

DETACHMENT

A physically distinct but functionally related and administratively dependent extension of an established shore (field) activity, bureau or command; normally categorized as a detachment, branch, annex or other similar title.

than $100,000 and no more than $500,000 which demand remedy sooner than would be possible if normal MILCON procedures were followed. EMM provides the same basic coverage as the former Urgent Minor Construction program.

FACILITY

A separate, individual building, structure, utility or other form of real property, including land, which is subject to separate reporting under the Department of Defense Real Property Inventory. (Note: This definition differs from that used elsewhere because it includes "land".)

FACILITY DEFICIENCY

The quantitative difference in terms of some unit measure between a stated requirement for a facility and the adequate assets avaiable for the satisfaction of that requirement. A facility deficiency may be satisfied in various ways by lease or purchase, by reassignment of otherwise surplus assets, by adaption of existing assets, by new construction, etc.

FACILITY REQUIREMENTS PLAN

The complete Shore Facilities Planning System package for a shore activity, comprising the Activity General Information, a Facilities Requirements Plan Summary, and the individual Facility Planning Documents for each facility category at the activity.

FACILITY PLANNING DOCUMENT (FPD)

The complete record of planning information for a single facility category (identified by five digit code) including requirements and assets information, deficient and surplus quantities for the category, buidlings included in the category, proposed planning actions to satisfy deficiencies and eliminate surpluses, and notes providing further descriptive information concerning the category code and the proposed planning actions.

GSA SPACE/LEASE

Facilities provided by GSA space allotments or leases, GSA provided space is excluded from Navy Facilities Assets Data Base (NFADB) reporting. Other space, used by a naval activity, under a lease arrangement is reported in the NFADB.

HOST ACTIVITY

For the purpose of the SFPS, an activity that holds Property Records and so has Navy Facilities Assets Data Base accountability for facilities regardless of occupancy. Under this definition a host activity does not necessarily have tenants. Some host activities are not required to prepare Basic Facility Requirements. A host can be a tenant at another host activity. (See ALTERNATE HOST ACTIVITY).

HOST/TENANT CODE

The host/tenant code is an indicator that ties the tenant and supported unit Unit Identification Code (UIC) to its

INADEQUATE (SUBSTANDARD)

Inadequate describes a facility that cannot be made adequate for its present use through "economically justifiable means". An inadequate facilty could, however, be adequate or substandard for a use other than its assigned category code.

INSTALLATION

The aggregrate of real property facilities assigned to a shore activity.

INVESTMENT CATEGORY

Static description of like facilities (by five-digit Navy category code) which are utilized functionally to support specific investment requirements.

MAJOR CLAIMANT

Those commands, bureaus and offices designated by the CNO, as claimants for a share of MILCON programs for the shore (field) activities under their command. The major claimant is responsible for the direction and control of mission, shore activity and workload planning for commanded activities. In those instances wherein mission and task functions assigned to activities under more than one major claimant must be performed within the same structure, or where separate structures are proposed but must be coordinated closely as to scheduling, siting, ground improvements, utilities, or other considerations, the major claimant having primary interest in the complex as a whole shall normally act as major claimant for the entire project. Technical review, however, shall be the responsibility of the command(s) having technical support cognizance.

MILITARY INSTALLATION PLANNING

A comprehensive document developed for Navy/Marine Corps activities to establish land use and provide direction in the utilization of existing facilities to support mission needs and, when required, to provide for the modification of existing assets or the acquisition of additional land or facilities.

MISSION-ORIENTED FACILITY

A facility designed to perform a specific task or function or to produce a product directly related to the primary mission of an activity or unit, such as an aircraft maintenance hangar at a naval air station.

MULTIPLE USE BUILDING

A building which supports more than one function and is reportable under multiple category codes.

NAVAL ACTIVITY

A unit of the Department of the Navy, of distinct identity, established under an officer in command or in charge.

Operations. Includes organizational adjuncts established and located at special areas by a naval activity to carry out assigned missions.

PARENT ACTIVITY

A shore activity which as administrative and/or operational control of detached sub-organizational units or detachments.

PARENT COMMAND

A parent command has operational, planning and programming responsibility for its field units regardless of geographic location.

PROJECT

A statement of a construction requirement for a facility or group of like facilities in terms of a category code, title, unit of measure, quantity required, estimated cost, description, justification, etc. A project will consist of only those elements necessary to produce a functional entity. It usually has a clearly dominant feature (the principle construction feature) such as a single building or structure or a group of buildings such as bachelor quarters. Project statements will also be used to identify excess facilities, or for such other identification as may be directed.

REHABILITATION

The action performed in restoring a facility to normal design standards.

RENOVATION

The action performed in upgrading an existing substandard facility to a functionally adequate usable facility.

REPAIR

Repair is the restoration of a facility to such condition that it may be effectively utilized for its designated purposes by overhaul, reprocessing, or replacement of constituent parts or materials that have deteriorated by action of the elements or usage and have not been corrected through maintenance.

REPLACEMENT

A replacement is a complete reconstruction of a facility destroyed or damaged beyond the point at which it may be economically repaired. A construction project for complete replacement should include the cost of demolition of the replaced facilty, and such costs are part of the construction costs.

SHORE ACTIVITY PLANNING

That planning which encompases the determination of mission, tasks, functions and workload to be accomplished by a naval shore (field) activity and provides for the coordination of information from all echelons of command, area coordinator and technical support.

evaluation of the adequacy of existing real proeprty to satisfy these requirements, the determination of facility deficiencies or excesses, the provision for maximum utilization of existing facilities, the translation of deficiencies into requirements for construction, and the initiation of disposal action of excess properties.

SPECIAL AREA

A geographic area, under the cognizance of a host activity, which is specially identified due to its non-contiguous location. Specific justification must be provided for the designation of special areas, or the retention of that designation, for any area that is not located at a significant distance from the boundary of the reporting activity.

SUBSTANDARD (Condition)

Substandard describes a facility with deficiencies that require approval and funding beyond the authority of the activity commanding officer for modifications or repairs to made the facility adequate for its function.

SUPPORTED ACTIVITY/UNIT

For the purpose of the SFPS, an activity or unit that does not prepare a Facilities Requirements Plan, occupies facilities accounted for in the NFADB by another activity (host) and has it facility requirements reflected in the Facilities Requirements Plan of the host activity.

SURPLUS

Adequate, substandard and inadequate assets of a facility category that exceed the category requirement.

TENANT ACTIVITY

For the purpose of the SFPS, an activity that has a Facilities Requirements Plan but occupies facilities accounted for in the NFADB by another activity (host). A tenant may have hosts other than his designated host.

YEAR, APPROPRIATION

The fiscal year for which funds are provided by Congress for the execution of MILCON projects.

YEAR, AUTHORIZATION

The fiscal year for which proposed MILCON projects are authorized by Congress.

YEAR, BUDGET

The fiscal year of the MILCON program under review by Congress.

YEAR, ESTIMATE

The fiscal year for which cost estimates are developed. Example: A cost estimate developed in February 1979 for

(General) The fiscal year to which a MILCON project is assigned in the MILCON RL for proposed funding as a result of priority determinations. (Specific) The fiscal year immediately following the budget year.

AC	Area Coordinator
ADCA	Anticipated Date of Contract Award
ADP	Automatic Data Processing
AICUZ	Air Installations Compatible Use Zones
AIS	Annual Inspection Survey
APPN	Appropriation
ARP	Activity Record Printout
CATCD	Category Code
CC	Construction Code
CCD	Category Code Directory
CCN	Category Code Number
CMC	Commandant of the Marine Corps
CNO	Chief of Naval Operations
CRT	Cathode Ray Tube Computer Terminal
DE	Data Element
DOD	Department of Defense
DR	Disposal Record
EAF	Environmental Adjustment Factors
E/COST FY	Estimated Cost and Fiscal Year
EE	Engineering Evaluation
EFD	Engineering Field Division
EIA	Environmental Impact Assessment
FACSO	Facilities Systems Office
FDR	Force Distribution Report
FPD	Facilities Planning Document
FY	Fiscal Year
FYDP	Five Year Defense Program
GSA	General Services Administration
H/T Code	Host/Tenant Code
IC	Investment Category
MAGIC	Master Activity General Information and Control
MARTD	Marine Corps Air Reserve Training Detachment
MCIF	Marine Corps Industrial Fund
MCNR	Military Construction, Naval Reserve
MC PRI	Major Claimant Priority
MILCON	Military Construction
MILCON RL	Military Construction Requirements List
NAF	Non-Appropriated Fund
NARF	Naval Air Rework Facility
NARU	Naval Air Reserve Unit
NAVCOMPT	Comptroller of the Navy
NAVFACENGCOM	Naval Facilities Engineering Command
NFADB	Navy Facilitiy Assets Data Base
NIF	Navy Industrial Fund
NRSO	Navy Resale Systems Office
NAVSUP	Naval Supply Systems Command
OMB	Office of Management and Budget
O&M	Operations and Maintenance (funds)
O&MN	Operations and Maintenance, Navy
OR	Outgrant Record
OSD	Office of Secretary of Defense
P/COST	Anticipated Cost in the Program Year
"P" No.	Project number assigned by activity
PI	Primary Investment Category
POM	Program Objective Memorandum
PR	Property Record
PRV	Project Rating Value
PS★	Percentage of Plans and Specifications
PY	Program Year
RDT&E	Research, Development, Test and Evaluation
RJE	Remote Job Entry
SA	Special Area
SCF	Supplementary Category Flag
SFPB	Shore Facilities Programming Board
SFPS	Shore Facilities Planning System
SNDL	Standard Navy Distribution List
SMC	Sub-Major Claimant
U/M	Unit of Measure
UCD	Usable Completion Date
UDF	Unvalidated Deficiency Flag
UIC	Unit Identification Code
UPHS	Unaccompanied Personnel Housing Survey
%W	Requirement Satisfied With Project
%WO	Requirement Satisfied Without Project

A. Purpose

1. The Shore Facility Planning System (SFPS) is designed to help manage the Navy's Shore Establishment, by identifying the facilities needed to support the Seapower mission. The system helps the activity planner identify valid facility requirements, analyze the facilities and real estate under his control, and develop valid plans to fill the vacancies and eliminate the surpluses. Ultimately these plans will be used by the Navy to validate requests for project funding through various programs, such as MILCON, O&MN, and OPN.

2. This section describes the Shore Facilities Planning System, and illustrates how it is used to manage the Navy's facility planning. It is a supplement to the appropriate NAVFAC and OPNAV instructions which govern the SFPS, but does not replace them. Therefore, it is important to obtain copies of the latest issues of the various instructions cited throughout this section, and become familiar with their contents. Information on current issues of instructions and directives is available at the Engineering Field Division (Code 09P) or at NAVFAC Headquarters (Code 201).

B. Changes to the SFPS

1. The experienced Navy planner should be aware that there have been many significant changes to the Shore Facility Planning System. Some of the changes which are addressed in this section include:

a. Replacement of the Military Requirements Data Book (MRDB) with a new format, the Facility Requirements Plan (FRP).

b. Replacement of the OPNAV Forms 11000/1, 11000/2, and 11000/3 with a single new format, the Facility Planning Document (FPD).

c. Revised Project for Correction of Facility Deficiency, OPNAV 11000/4.

d. Simplified procedures for updating property records and the Navy Facility Assets Data Base (NFADB).

e. Conversion of the computer data base to an "on-line" system which allows EFDs and NAVFAC to have instant access to the latest planning data for any Navy activity.

4.1.2 Overview of the Shore Facilities Planning System

This section provides a brief overview of the SFPS, including a review of the logic of the system, what facilities are covered, and who participates in its management and operation. Also described are the recent changes to the system, including the use of streamlined formats and the application of modern computer technology to the SFPS.

A. Logic of the Shore Facility Planning System

1. The SFPS is based on a simple, direct logic which is designed to identify and validate only those facility needs which are in direct support of an activity's mission. This logic is illustrated by Figure 4-2, and can be summarized as follows:

b. **Existing Facility Assets** must be accounted for, and evaluated in regards to their ability to meet design purposes. Again, this evaluation should be consistent for similar facilities throughout the Navy.

c. **Requirements and Assets must be compared** to determine if requirements are adequately met, if shortages exist, or if there are excess facilities. Where possible, excess facilities must be used to fill shortages.

d. **Valid Project** to correct deficiencies should be identified, verified, and submitted for appropriate funding action.

e. **Excess Facilities** should be removed, or transferred to activities that can use the assets to meet existing shortages or deficiencies.

2. This logic guides all aspects of the SFPS, and has resulted in a planning program which enjoys a high degree of Congressional confidence and project approvals. Each procedure and element of the SFPs described throughout this Chapter will refer back to this simple method of identifying and supporting only those projects which are directly mission related, and are consistent with similar requirements throughout the Navy.

B. Facilities Covered by the SFPS

1. The SFPS applies to the facilities held by all shore activities responsible for military construction planning and programming, with the exception of:

a. Shore activities commanded by the Commandant of the Marine Corps.

b. Family Housing.

c. Family type supplemental or recreational lodging facilities for short term occupancy, constructed and/or managed by non-appropriated funds.

d. Facilities programmed, budgeted, and financed with funds from appropriations for research, development, test, and evaluation or procurement pursuant to NAVMATINST 4860.13B.

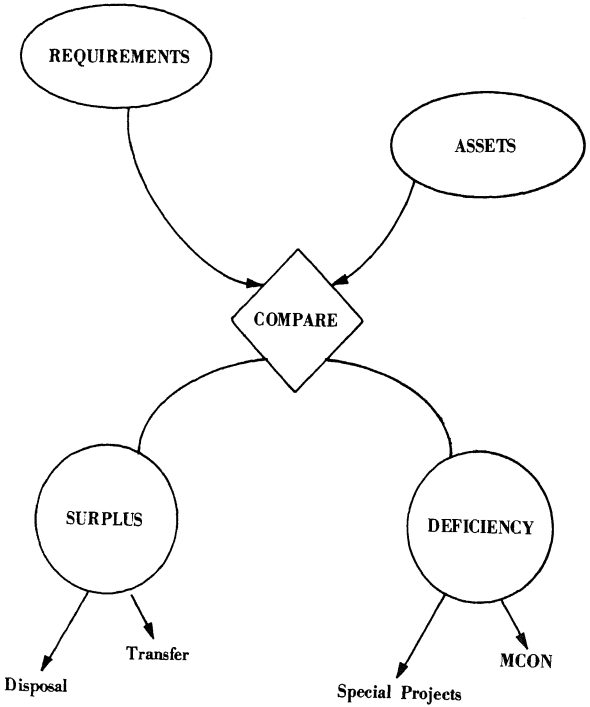
2. In addition, NAVFACINST 11010.44 lists several specific types of activities and organizations that are exempt from the SFPS.

C. Facility Category Codes

1. All of the Navy's facilities are organized under a category code system which is managed by NAVFAC. The category code system assigns each type of Class 1 (Real Estate) or Class II (Improvements) property a five-digit category code. All facility requirements data and inventory information are recorded under these codes. The NAVFAC P-72, *Category Codes for Navy Facilities Assets* describes the category codes system, and lists all existing category code numbers, descriptive titles, units of measure, maintenance cost accounts, and investment categories.

D. Participants in the SFPS

1. Successful planning begins at the individual Navy activity. The Commanding Officer is directly responsible for supporting his assigned mission, and


REQUIREMENTS
ASSETS
COMPARE
SURPLUS
DEFICIENCY
Disposal
Transfer
Special Projects
MCON

therefore must insure that the SFPS supports his facility requirements. However, activity planning must also stand up before several different levels of review before it is considered adequate and valid.

2. The various organizations responsible for reviewing, approving, and assisting with the SFPS can be divided into two groups: those who provide technical review and assistance, and those who furnish guidance and support through the operational chain of command.

a. Technical Review and Assistance is furnished primarily by NAVFAC and the EFDs, which are responsible for administering the planning system and furnishing technical advice. These organizations review SFPS submissions for technical adequacy, compliance with instructions and criteria, accuracy of cost estimates, etc. Technical review comments are then forwarded by the EFD to the appropriate level of the operational chain of command, where decisions are made for funding and programming priorities.

b. The Naval Facilities Engineering Command and its EFDs are also responsible for publishing planning guidelines and instructions to implement the SFPs, and to provide engineering assistance when required. EFDs initiate some actions, such as conducting Engineering Evaluations to insure that records of facility assets are consistent with actual conditions. The EFD may also recommend specific planning actions to eliminate facility deficiencies and excesses.

c. Operational Guidance and Support is furnished through the linear Chain of Command. Activity planning must begin with sound guidance from the chain of command regarding mission assignment and projected base loadings. Subsequently, the activity must submit elements of the SFPS for review by the chain of command to insure the proposed plans are consistent with existing and planned operational needs of the base. Ultimately the Chain of Command will fund project requirements or support them in major programs such as MILCON.

d. The standard operational chain of command begins with the activity Commanding Officer, and goes through the sub-major claimant, and major claimant, to the CNO. Decisions to fund or program projects are made at some point in this chain, depending upon project type and cost.

3. All project submissions must meet the required technical review for conformance with the SFPS before final review and approval will be completed by the operational chain of command. Likewise, an activity's SFPS must be supported by the operational chain of command in order for projects to be funded or programmed. Therefore it is important for the Navy activity to aggresively pursue a planning program which has support through the operational chain of command, and which meets the technical requirements of the SFPS.

E. Computer Applications to the SFPS

1. The use of computers to assist in managing the SFPS is not a new development. Planners experienced in the SFPS are familiar with the Military Construction Requirements Data Book (MRDB) which was a computer

a. Introduction of the Cathode Ray Tube Terminal at each EFD, NAVFAC and FACSO has provided a direct, on-line link with the computer data base system and a visual display of the data on file. This system allows operators at NAVFAC and the EFDs to "query" the computer files for all SFPS information on record for any given activity. Changes can also be made directly at the CRT Terminal, and automatically entered into the computer file. This system allows virtually an instant update capability at the EFD for requirements, asset, and planning analysis information.

b. Introduction of the Facility Requirements Plan as a replacement for the MRDB. This new format is described in detail in the following portions of this section. Briefly summarized, the Facility Requirements Plan displays all facility requirements, assets, and planning analyses on a single sheet or format for each individual category code assigned to an activity.

c. Continued utilization of established computer files which have been in use for several years to record facility requirements and assets information, has allowed NAVFAC to shift to the new system with a minimum of inconvenience to individual commands. Existing computer files which have been adapted to the new system include the Navy Facility Assets Data Base (NFADB), Basic Facility Requirements, (BFR), Master Activity General Information Control (MAGIC) and Category Code Directory (CCD).

2. The relationships of various computer data base systems to the SFPS are illustrated by Figure 4-3.

F. Elements of the Shore Facilities Planning System

1. Each part of the SFPS serves some portion of the logic described in paragraph 4.1.2.A. The key elements which are used to execute the system include:

a. The Facility Requirement Plan provides the means to compare facility requirements and assets to determine the optimum solution to an activity's facility needs. The Facility Requirements Plan includes a *Facility Planning Document* (FPD) which summarizes planning information for individual category codes; a *Facility Requirements Plan Summary* which displays a summary of all FPD information; an *Activity General Information Summary*, which illustrates general identification data for the activity, and all hosts or tenants on board the base.

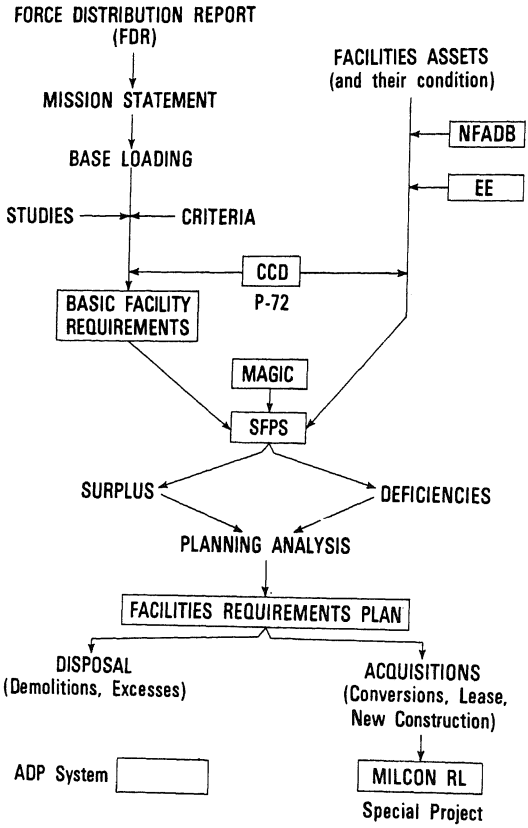
b. The OPNAV Form 11000/4 Project for Correction of Facility Deficiency which is used for submission of construction projects to satisfy deficiencies in excess of $100,000.

c. The MILCON Requirements List (1360 Report) which summarizes the valid MILCON projects for an individual activity.

2. Each of these three elements of the SFPS are discussed in detail in the following paragraphs.

4.1.3 The Facility Requirements Plan (Reference NAVFACINST 11010.44)

A. Purpose


FORCE DISTRIBUTION REPORT
(FDR)
MISSION STATEMENT
BASE LOADING
STUDIES
CRITERIA
FACILITIES ASSETS
(and their condition)
NFADB
EE
CCD
P-72
BASIC FACILITY
REQUIREMENTS
MAGIC
SFPS
SURPLUS
DEFICIENCIES
PLANNING ANALYSIS
FACILITIES REQUIREMENTS PLAN
DISPOSAL
(Demolitions, Excesses)
ACQUISITIONS
(Conversions, Lease,
New Construction)
ADP System
MILCON RL
Special Project

Data Book, (MRDB), and display all current planning information for a selected Navy Activity.

B. Contents of the Facility Requirements Plan. The Facility Requirements Plan is divided into three parts: The Facility Planning Document (FPD), Facility Requirements Plan Summary, and Activity General Information.

1. The Facility Planning Document is the primary working document for the SFPS. A separate FPD is prepared for each category code, and displays current information regarding facility requirements and assets. It also provides a means of comparing requirements and assets data, and proposing specific solutions to resultant deficiencies and excesses. The FPD is a significant improvement over previous formats, as it provides all of the appropriate planning information for a given category code in one place. Also, it provides a detailed breakdown of the individual facilities which contribute to the total assets for a single category code. Data for the FPD is derived from the Basic Facility Requirements, Navy Facility Assets Data Base, and Category Code Directory Files. The different types of information displayed by the Facilities Planning Document are summarized by Figure 4-4.

2. The Requirements Plan Summary lists all category codes for which a Facility Planning Document exists for the individual Navy activity. The summary includes all of the latest approved facility requirements for each category code (primary unit of measure only), facility surpluses and deficiencies based on *existing* assets and requirements, and facility surpluses and deficiencies based on the *proposed* planning actions. A sample Requirements Plan Summary is illustrated by Figure 4-5.

3. The Activity General Information sheet provides several items of information regarding the Navy activity's chain of command, geographical EFD, Naval District, etc. In addition it lists all supported units and tenants on board the activity, and all special areas (non-contiguous facilities and real-estate) assigned to the command. A sample Activity General Information Sheet is illusrtated by Figure 4-6.

C. Guidance for Preparation and Revision

1. The information in the Facility Requirements Plan must be revised whenever:

a. The information in the Activity General Information summary changes due to the assignment of new tenants, supported, units, etc.

b. A change in mission or base loading dictates a change in facility requirements.

c. The facility assets are changed as a result of a review of the facility assets records.

d. A project is completed that affects the quantify or alters the adequacy of a facility.

e. Proposals for satisfying existing deficiencies and disposals of surpluses are altered.

2. Changes to facility requirements must be initiated by the activity, and submitted for technical review requirements may be submitted in the format of a Navy letter, and no form is required. In the case of both revisions to existing facility requirements, and generation of new facility requirements, complete back-up information which clearly illustrates how the requirements were developed must be included. (Ref NAVFACINST 11010.44; NAVFAC P-80)

3. Revisions to facility assets information may be changed as the result of activity-generated changes to a facility use or user, or as the result of a records update during an Engineering Evaluation by the Engineering Field Division. In all cases, the Engineering Field Division must approve changes to the assets information in the Facility Requirements Plan. (Ref NAVFACINST 11010.44; NAVFAC P-78)

4. The planning actions proposed to eliminate deficiencies and surpluses must also be approved by the Engineering Field Division, although the Activity may initiate proposals for such changes. Changes to the planning analysis and proposed planning actions are generally noted during the EFD's on-site Engineering Evaluation. (Ref NAVFACINST 11010.44)

5. Revisions to the Activity General Information are executed by making changes to the Activity's portion of the NAVFAC Master Activity General Information Control system (MAGIC). Changes are made using Activity Record Printouts (ARPS) which are forwarded by the Activity to the EFD, describing necessary changes. (Ref NAVFACINST 111010.44; NAVFAC P-78. NAVFACINST 5400.4)

6. All revisions to the Facility Requirements Plan are initially entered into the computer data base at the Engineering Field Division, over the Cathode Ray Tuber (CRT) Terminals. Once data is approved and entered into the system, any subsequent calls for information under that category code will display the updated data last entered over the CRT.

D. Submissions, Review, and Validation

1. Revisions to the Facility Requirements Plan may be made directly on the printed Facility Planning Documents and Requirements Plan Summaries. The submission of such changes for facility requirements is illustrated by figure 4-7, and for facility assets data by figure 4-8. (Ref NAVFACINST 11010.44; NAVFAC P-78)

2. Initial submissions of new or revised data in the Facility Requirements Plan are sent to the Engineering Field Division for review and entry over the CRT. Once data is entered into the system, the EFD is authorized to approve certain data elements such as proposed planning actions and facility assets information. However, NAVFAC approval is reserved for facility requirements for certain specific category codes. In these cases, a facility requirement is not considered "valid" until it receives NAVFAC approval.

4.1.4 OPNAV Form 11000/4 Project for Correction of Facility Deficiency

ACTIVITY UIC. . N62542 NAME. . . ARDMOORE
SPECIAL AREA. . 8A NAME. . . ARDMOORE

CATEGORY CODE. . 17120 DESCRIPTION. . APPLIED INSTRUCTION BLDG
RQMTS DATE. . 19 MAR 79 LATEST CHANGE DATE. . 19 MAR 79 EFD CERT DATE. .

BASIC FAC RQMT	UM	FACILITY ADEQUATE	ASSETS SUBSTNRD	DATA INADEQTE	OTHER	QUANTITY DEFICIENT	QUANTITY SURPLUS
38677	SF*	20677	9600	23401		18000	15201
320	MN	140	40	160		180	20

FACILITY DETAIL

FAC NO	U	EE	C	ADEQUATE	SUBSTNRD	INADEQTE	DEF CODES
212	N	77	P			7500	A24
213	N	77	P	3000			C45
215	N	76	S			2600	A30826A01
216	Y	77	T			2100	A30826A01
221	N	77	T			1729	A30826A01
223	Y	77	S			8024	A30826A01
231	N	78	P	11000			C40
242	N	78	P			7024	A30826A01
247	N	78	S			1924	E05A30826
323	N	78	S			2300	A24
342 ACQ	Y	78	P	6677			

SATISFACTION OF DEF/SURP

ACTION ID	D	SCOPE	NT
RENOV P-123	+	7500	01
USE	+	3000	
CONVTO 21910	-	2600	
EXACT VAC	-	2100	
EXDISP VAC	-	1729	03
OUTG-C	-	8024	02
MODIFY P-124	+	11000	04
DISPOS VAC	-	7024	
DEMOL VAC	-	1924	05
RENOV P-123	+	2300	01
OUTG-R	+	6677	06
CUNSTR p-134	+	8200	

TOTAL PROPOSED ADEQUATE ASSETS = 38677

NOTES FOR CATEGORY CODE. . 17120
STD NOTE: PENDING NAVFAC HQ APPROVAL

GEN NOTES: REQUIREMENT REPRESENTS CONSOLIDATION OF 17120 AT SPECIAL AREAS DA AND BA, SPECIAL AREA DA IS TO BE EXCESSED

FPD ACTION NOTES:
01 P-123 WILL REPAIR ROOFS OF FAC 212 and 823
02 CONTINUE OUTGRANT OF FAC 223 TO MCDOUGALL ACPT, TERM DTE 30 SEPT 85
03 DEMOLITION TO BE ACCOMPLISHED BY CBU 441
04 P-124 WILL CORRECT OSHA DEFICIENCY
05 FAC 247 TO BE DEMOLISHED BY P-134
06 TERM OUTGRANT OF FAC 342, SOUTHROP ACFT, TERM DTE 30 SEP 79

Existing Assets Information, as recorded in Navy Facility Assets Data Base. (Ref. NAVFACINST 11010.44, NAVFAC P-78)

Facility Requirements, as approved by NAVFAC or EFD (Ref. NAVFACINST 11010.44, NAVFAC P-72, NAVFAC P-80)

Category Code Number and Title, and Date of latest approved facility requirement (Ref. NAVFACINST 11010.44, NAVFAC P-72)

General information on the Navy Activity (Ref. NAVFACINST 11010.44)

Space for recording written notes regarding projects status, approval status for requirements, etc. (Ref NAVFACINST 11010.44)

Actions planned to satisfy deficiencies, and reduce excesses. (Ref NAVFACINST 11010.44)

Quantities deficient and surplus as determined by comparing existing assets and requirements (Ref. NAVFACINST 11010.44)

FIGURE 4-4
SAMPLE FACILITIES PLANNING DOCUMENT

CAT CODE	DESCRIPTION	UN	BASIC FAC REQUIREMENT	***EXISTING*** QUANTITY DEFICIENT	***EXISTING*** QUANTITY SURPLUS	***PROPOSED*** QUANTITY DEFICIENT	***PROPOSED*** QUANTITY SURPLUS
11110	RUNWAY	SY	596000	104867	0	0	0
11210	TAXIWAY	SY	287000	0	37442	0	37442
11320	ACFT PRKG APRN	SY	535085	0	51115	0	10500
11340	ACFT ACC APRN	SY	86700	0	0	0	0
11610	ACFT W/RCK PV	SY	4447	4447	0	0	0
12110	ACFT DIR FU STA	GA	2400	2400	0	0	0
12430	ACFT R/RUEL ST	GA	129000	0	1013400	0	50000
13710	METEOROLGCL BLD	SF	2250	2250	0	0	0
14111	AIR PSG TERM	SF	6750	6750	0	0	0
14377	OPERTNL STRG	SF	51500	0	6192	0	0
17110	ACD/GEN INS BLD	SF	7400	7400	0	0	0
21105	MAINT HNGR-OH	SSF	18400	0	142142	0	50000
21106	MAINT HNGR-01	SSF	61200	57543	4168	0	0
21107	MAINT HNGR-02	SSF	63300	63300	20111	0	0
21134	PCHTE/SURV EQP	SF	7150	925	0	0	0
21135	ENG MAINT SHOP	SF	12000	0	15444	0	0
21136	AIRFRAMES SHOP	SF	5500	5500	22270	0	0
21137	AVIONICS SHOP	SF	25400	25400	2471	0	0
21138	AVIATION ARM SH	SF	8000	6216	0	0	0
21166	PWR CHK NO SND	EA	2	1	0	0	0
21177	ACFT SPARES STG	SF	4000	0	1844	0	0

UIC...02452 SUMMARY PAGE 1

FIGURE 4-5
FACILITIES REQUIREMENTS PLAN SUMMARY

H/T CODE	0	HOST
HOST UIC	N02542	AIR STATION WHITEHALL
PARENT UIC		
MAJOR CLAIMANT	F	CINCPACFLT
SUB-MAJOR CLAIMANT	FO	AIRPAC
EFD	N62474	WESTDIV
AREA COORDINATOR	11	COMELEVEN
AREA COMPLEX	ZZ	WHITEHALL

SPECIAL AREAS

BA ARDMOORE
CA HIGGINS
DA BIDDLE

ALTERNATE HOST LOCATIONS

UIC	SUB-CLMNT	NAME
M12345	R CMC	CAMP MITCHELL
N23456	KO NAVAIR	PT, OAKBED TEST CEN

SUPPORTED UNITS

UIC	SUB-CLMNT	NAME
N45678	M TELCOM	BASE COMMUNICATION TELCOM
N56789	FO AIRPAC	FLT AIR PHOTO LAB

TENANTS

UIC	SUB-CLMNT	NAME
N98765	B CNAVRES	AIR RESERVE DET
N87654	I BUMED	EPMU

UIC . . . N02542 GENERAL INFORMATION PAGE 1

FIGURE 4-6
ACTIVITY GENERAL INFORMATION

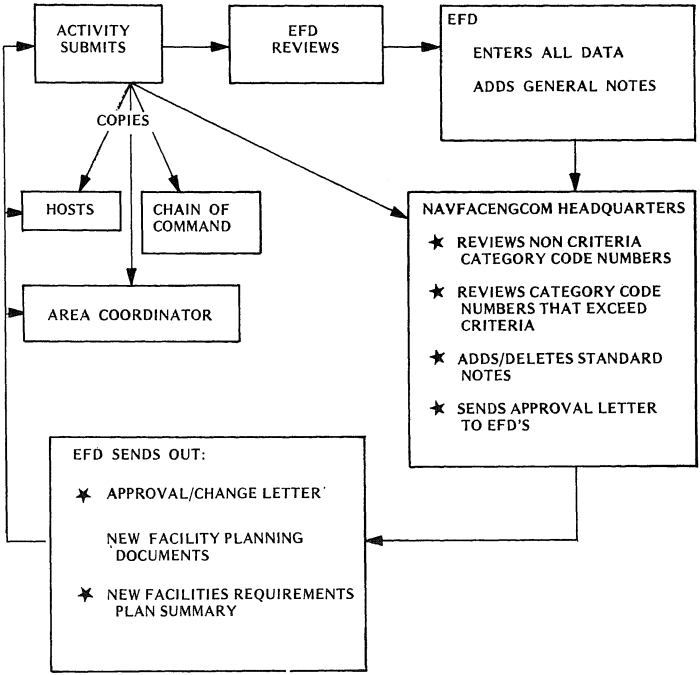
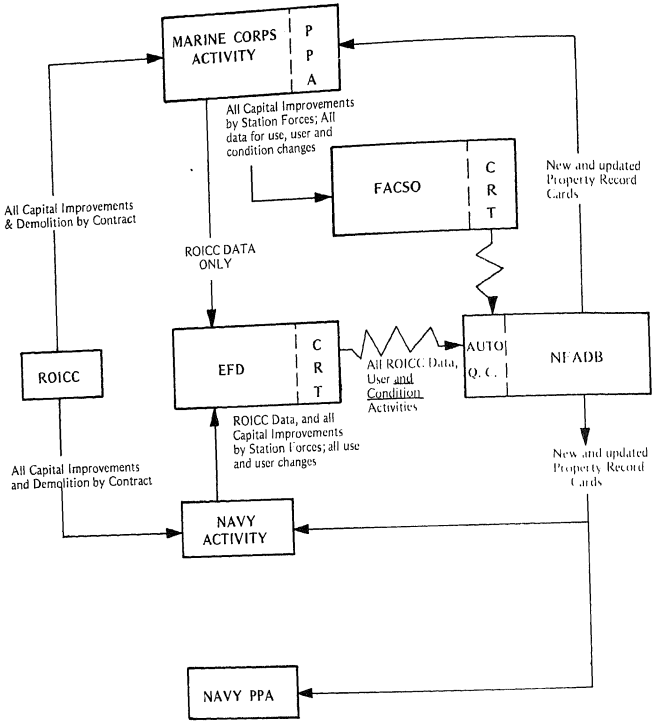

ACTIVITY SUBMITS
EFD REVIEWS
EFD
ENTERS ALL DATA
ADDS GENERAL NOTES
COPIES
HOSTS
CHAIN OF COMMAND
AREA COORDINATOR
NAVFACENGCOM HEADQUARTERS
★ REVIEWS NON CRITERIA CATEGORY CODE NUMBERS
★ REVIEWS CATEGORY CODE NUMBERS THAT EXCEED CRITERIA
★ ADDS/DELETES STANDARD NOTES
★ SENDS APPROVAL LETTER TO EFD'S
EFD SENDS OUT:
★ APPROVAL/CHANGE LETTER
NEW FACILITY PLANNING DOCUMENTS
★ NEW FACILITIES REQUIREMENTS PLAN SUMMARY

FIGURE 4.7


MARINE CORPS ACTIVITY
P P A
All Capital Improvements by Station Forces; All data for use, user and condition changes
FACSO
C R T
New and updated Property Record Cards
All Capital Improvements & Demolition by Contract
ROICC DATA ONLY
ROICC
EFD
C R T
All ROICC Data, User and Condition Activities
AUTO Q. C.
NFADB
ROICC Data, and all Capital Improvements by Station Forces; all use and user changes
New and updated Property Record Cards
All Capital Improvements and Demolition by Contract
NAVY ACTIVITY
NAVY PPA

Objectives. The individual projects are identified and quantified on the OPNAV Form 11000/4.

The secondary purpose of the project summary, as input for the development of the Military Construction Program Objectives, is to enable the various command echelons to review all projects and establish priorities for accomplishments. By this method the Annual Military Construction Programs are formulated.

B. Method of Accomplishment

1. Using the Facility Requirements as the source document, the EFD analyzes the quantitative deficiencies and determines in conjunction with the activity Commanding Officer, the best means for satisfying the deficiencies in terms of specific projects. The Commanding Officer initiates and, with EFD technical guidance, jointly prepares a proposed project on Form 11000-4 in accordance with the instructions contained in NAVFACINST 11010.44 (current). All facility deficiencies which result in projects in excess of $100,000 are to be shown on the Form 11000/4. Facility deficiencies which result in projects less than $100,000 are funded with OM&N dollars with procedures for funding contained in OPNAVINST 11010.20 (current) and Chapter 5 of this manual. Where incremental development is planned a separate project is required for each increment and so identified. The presence of a proposed facilities project in an approved master plan document does not of itself represent justification or CNO approval of that particular project.

2. Projects for utility improvements, pollution abatement and those with category codes that do not require BFR documentation shall also be submitted on Form 11000/4. However, they are not related to a quantitative facility requirement and justification and validation must be based on other specifics. For utility projects the requirements and justification should be developed through the Utility Improvement Program (refer to OPNAVINST 11010.31 (current)). For Pollution Abatement projects, the requirement is identified jointly by the activity and the EFD and an Exhibit I submitted to NAVFAC for inclusion and the EFD and an Exhibit I submitted to NAVFAC for inclusion in the OMB Pollution Control Report. At the same time, an OPNAV Form 11000/4 will be initiated and submitted in the same manner as for any other project to insure the inclusion of the project in the Program Objectives Data Bank. In addition, the Exhibit I submitted for the Pollution Control Report will include the P-number identification assigned to the Form 11000/4.

3. The Form 11000/4 is submitted only to reflect additional project requirements as a one time event. Changes to elements of previously identified projects are made by the use of the MILCON Requirements List Report 1360. All new or revised projects reported on Form 11000/4 or the 1360 will be supported by the SFPS. This continuous updating will result in the maintenance of a dynamic Program Objectives Data File and will enable the Major Claimant and the CNO to adjust construction priorities in response to changing requirements.

4. When project development and/or site interest in the complex as a whole sponsors the entire project. Technical review of each portion of the project, however, is the responsibility of the command having technical support cognizance (i.e., in the case of commissary stores - Commander Naval Supply Systems Command). The foregoing is applicable for projects involving rehabilitation/modernization of existing facilities. Where projects involve mixed command interest and agreement cannot be reached at the Area Coordination level as to which major claimant has primary interest, the issue is referred to the Chief of Naval Operations.

C. Guidance for Preparation:

1. Although the preparation of the Form 11000/4 is a joint-responsibility of the Commanding Officer and the EFD, it is the Commanding Officer/Public Works Officer who takes the lead in such action. The instructions contained in the NAVFACINST 11010.44 for preparation are quite comprehensive. Sample Form 11000/4 is shown as Figure 4-9.

2. Although all elements of the Form 11000/4 are important, some few may require extra consideration. The quantity (scope) of the project is, of course, the basic element of the proposed subject. This quantity must be supported by foregoing planning documents; it must be established within criteria limitations; it must be fully justified in later programming and funding documents.

3. Based upon the quantity (scope) of the proposed project, the cost to accomplish the project must be estimated and the year to which that estimate applies be determined. Construction costs during the past several years have increased along with other cost-of-living rises experienced by the general economy and is expected to continue in future years. Activities should develop cost estimates for reporting in Form 11000/4 on the basis of the latest conceptual Military Construction Cost Engineering Data published annually (NAVFAC P-448). Where other local experience or cost reference may be used to reflect current experience. In addition to the cost entry, the Fiscal Year for which the locally developed cost estimates are considered valid will be entered in OPNAV Form 11000/4. This becomes the designation of the "estimate year."

4. Utility requirements are not as directly determined from base loading data as are other facility requirement categories. Even when final utility capacities are known, considerations as to siting and the relative availability of utility sources may make radical differences in utility project scopes. Special study is required to ensure that all necessary utilities, including utility services back to their source, have been adequately provided.

5. All OPNAV Form 11000/4 Submissions must be accomplished by the Facility Planning Documents for each category code addressed by the project. In addition, the project submission must include:

a. A detailed site plan (Reference NAVFACINST 11010.44)

b. An Economic Analysis which supports

OPNAV 11000/4 (REV. 4-79)
S/N

REPORT OPNAV 11000-1C

CLASSIFICATION

PROJECT FOR CORRECTION OF FACILITY DEFICIENCY

PROJECT NO.
P-

SUBMITTING ACTIVITY NAME AND LOCATION

ACTIVITY UIC | MAJOR CLAIMANT

HOST ACTIVITY

HOST UIC | AREA COORD.

COMPONENT NAME

COMPONENT UIC

EST YEAR	USEABLE COMPL		INVESTMENT PROGRAM	ECONOMIC ANALYSIS	E I A	S I T E	RELATED PROJECTS	%W	%W/O	MAJOR CLAIMANT PRIORITY
	MOS	CODE								
1	2	3	4	5	6	7	8	9	10	11

	CATEGORY CODE	PROJECT TITLE	AHSU UIC	SA	SCOPE QUANTITY	UIM	ESTIMATED COST ($000)	CONST/ MISSION CODE	VAL. CODE
	12	13	14	15	16	17	18	19	20
@									
K									
L									
M									
N									
O									
P									

21. PROJECT DESCRIPTION

ACTIVITY CERTIFICATION. I certify that this project is required to support Activity Mission functions.

Activity Commanding Officer — *Date*

MAJOR CLAIMANT CERTIFICATION. I certify that this project is required to support Activity/Mission functions.

Major Claimant Representative — *Date*

EFD CERTIFICATION. This project is supported by SFPS.

EFD Commander/Commanding Officer — *Date*

(DO NOT WRITE IN THIS SPACE – FOR NAVFAC USE ONLY)
This project is authorized for entry into the MILCON R.L.

NAVFAC Authorizing Signature — *Date*

CLASSIFICATION

d. A cost estimate prepared on NAVFAC Form 11013/7 (Reference NAVFACINST 11010.44)

D. Validation Procedures and Considerations:

1. The Engineering Field Division has joint responsibility with the Commanding Officer for the preparation of individual activity Form 11000/4 submissions, however, keeping in mind the Commanding Officer/Public Works Officer has primary responsibility for the initiation of the Form 11000/4. Basically, the EFD's responsibility is to provide and/or validate the technical data related to each project. This applies to both the original total submission and to subsequent submissions relating to additions or changes to the original.

2. Particular concern should be given with respect to validation or invalidation of the estimated cost. SFPS procedures require the submissions to NAVFACC of DD Forms 1391 (see paragraph 4.2.3) only for projects included in a program year. It is therefore acceptable that the cost estimate/cost estimate review for a project which is not supported by a DD Form 1391 be on a basis for which a rationale can be established whenever a detailed cost estimate and documentary facts are not readily available. For example, points of review might be:

a. From previous experience, what is a normal unit cost for the type of facility in the geographic area for the estimate year indicated?

b. What are the probable supporting items and costs (percent of total) for the type of facility at the activity noted?

c. Consider the fact that at least 5 percent contingency is always applied to project costs on the DD Form 1391 which goes to Congress for funding.

d. Based upon current DOD cost limitations, area cost factors and the "Estimated Year" indicated, is the estimated cost within reason based upon the facts known at the time of review?

3. If the project is considered to be invalid for any one or more data items and the discrepancy cannot be resolved with the activity or if review time is insufficient to complete validation procedures for an individual project, the reason(s) for such invalidation are recorded in the appropriate column of the Form 11000/4 by the EFD.

4. If any variance of opinion with the activity cannot be resolved, the EFD shall so indicate in its letter of transmittal to the chain of command. In any event, it is desired that the Form 11000/4 presented to the Major Claimant be a record of "Activity/EFD joint preparation and involvement."

E. Chain of Command Review:

1. The completed Form 11000/4 is submitted by the activity Commanding Officer to NAVFACENGCOM, via

and assistance in assignment of project priorities. The Form 11000/4's are used by NAVFACENGCOM in the formulation of the Military construction Requirements List and annual MCON and MCNR programs for review and evaluation.

2. Superiors-in-Command review and analyze the construction requirements submitted on the Forms 11000/4 so that he may verify and support those requirements which are to be included in the MILCON RL and annual MILCON programs. In addition, he assigns priorities to each individual project in accordance with current guidance and direction of the Chief of Naval Operations.

F. Public Works Officer.

1. The activity command and public works officer should ensure that each project submitted on OPNAV Form 11000/4 is a true reflection of real and tangible needs, is free from embellishments, has a sense of urgency associated with time, and is supported not only by theoretical criteria but also by the existence of actual or known future problems affecting the mission of the activity.

4.1.5 MILCON Requirements List Report 1360. (Reference: NAVFACINST 11010.44 (current).)

A. Purpose. The MILCON Requirements List Report 1360 provides a copy of program objectives data to all interested parties at periodic intervals in the general format of the OPNAV Form 11000/4. A description of that format is contained in NAVFACINST 11010.44 (current). The portion of that report applicable to each addressee (activity, area coordinator, EFD, Major Claimant) is provided. Those addresses who do not have projects included in the RL data bank do not receive a copy of the report. The purposes of this 1360 report, a sample of which is shown as Figure 4-10 are to:

1. Provide a ready means for verification of the PO data bank by the activity (projects previously submitted on Form 11000/4).

2. Provide an alternative process for updating/correcting errors for projects identified in the program.

3. Provide a means for identification of projects for which SFPS validation by the EFD has not yet been completed either due to the need for additonal data or additional review effort.

4. Provide the activity with a continuous indication of the general programming status for its MILCON program. The activity Major Claimant should be consulted for precise programming status.

B. Caution. A misconception often associated with the MILCON Program is that large backlog of deficiencies will assist the activity, or claimant, in obtaining more MILCON dollars. This is not true in any signficant sense. The MILCON Programming System is designated primarily to benefit activities based on the quality of their input. Of equal or more importance is the negative effect of poor quality

ACTIVITY NAME	ACT CODE	UIC	AREA							
XXXXXXXXXXX	9999-999	X-99999-99	99	99		99/99/99				
(1)	(2)	(3)	(4)	(5)	(6)	(7)				
CF	IC	PPR	CAT CODE	LINE ITEM DESC.	IID	QUANTITY	UM	E/COST	EY	PY
**	99	999.9	999-99	XXXXXXXXXXX	999	9,999,999	XX	99,999	99	99
(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)	(18)
BOD	CB	C	%DW	%DWO	PI	MP	EC ANAL	FY	U	
999	9	9	999	999	99	999	999,99	99	#	
(19)	(20)	(21)	(22)	(23)	(24)	(25)	(26)	(27)	(28)	

The 1360 REPORT is in 2 sections:

1360 - By Sub-major Claiman
By Naval District
By Activity

13600 - By Naval District
By Sub-major Claimant
By Activity

1. Activity Name
2. Standard Navy Distribution List (Activity Code)
3. Unit Identifier Code
4. Area Code (Naval District)
5. Major Claimant or Sub-Major Claimant Code (as appropriate)
6. Primary Mission
7. Date Last Revised
8. Change Flag Indicates Change in Composition of Project
9. Investment Category
10. Major Claimant Priority
11. Category Code
12. Project Description
13. Project Identification (#)
14. Quantity
15. Unit of Measure
16. Cost
17. Estimated Base Year
18. Program Objective Fiscal Year
19. Beneficial Occupany Data
20. Critical BOD Code
21. Construction Code
22. Percent Deficiency With
23. Percent Deficiency Without
24. Primary Investment Program
25. Master Plan
26. Economic Analysis
27. FYDP Fiscal Year (NAVFAC Info Only)
28. Unvalidated Deficiency Code

FIGURE 4-10

FORMAT FOR REPORT 1360 (OPNAV Form 11000-4)

C. Basic Procedures:

1. The data contained in the RL Data Bank are initiated at the activity level by means of the OPNAV Form 11000/4. Since the Report 1360 contains data previously reported on the OPNAV Form 11000/4, this report is used in lieu of the actual printed OPNAV Form 11000/4 to report handwritten corrections or updating of information for projects already identified on the report.

2. In the event new projects are identified, or present projects are combined/adjusted to create a new item (new "P" number), the new entry is submitted on the OPNAV Form 11000/4 in the normal manner prescribed in paragraph 4.1.6. This new entry is to be an addition to the existing OPNAV Form 11000/4, however. Once the Report 1360 has been established from previously submitted Forms 11000/4's, only the new project need be listed on the new 11000/4 submission.

3. A major feature of the Report 1360 is the entry (item 28) signifying whether or not the project has been properly validated by the EFD with regard to support of the item by the SIFPPS and validity of technical engineering and

D. Activity and EFD Validation:

1. The Report 1360 is published periodically (usually annually.)

2. Upon receipt of the Report 1360, as it applies to his activity, Commanding Officers/Officers in Charge are required to review the contents of the report and make certain corrections/ recommendations in accordance with the instruction set forth in NAVFACINST 11010.44 (current) and forward to the EFD.

3. The EFD will, upon receipt of an updated/corrected Report 1360 from an activity, review and validate all projects and forward the report with appropriate comments through the activity's designated chain of command to NAVFAC. The review includes specific validation of the following:

a. Proper category code for functional project description.

b. Scope (quantity) supported by Shore Installations and Facilities Planning and Programming System

category code and estimate year (EY).

e. Usable Completion Date (UCD) code realistic.

f. Proper construction code.

g. %Deficiency With%Deficiency Without supported by SIFPPS.

h. Economic analysis figure, if shown, is *realistic* and documented.

i. Inclusion on an updated General Development Map.

In those cases where a project is determined to be invalid for a specific reason, the EFD initiates immediate action with the activity to rectify the project in question. As a result of this action, the EFD may correct the PO 1360 Report in accordance with EFD/Activity concurrence. In the cases of improper category code, the EFD may correct without immediate referral to the activity; however, the activity should be advised of the EFD action.

E. Chain of Command Review:

1. Intermediate Commands and Major Claimants review all submissions and forward the original marked up report to NAVFAC for updating the 1360 Data Bank.

2. It is noted that based upon information contained in the Report 1360, the activity is in a position to anticipate those projects which qualify for inclusion in a particular annual Military Construction Program. Accordingly, efforts may be concentrated on those projects as each subsequent program year approaches.

4.1.6 Command Responsibility. The extensive responsibility which rests with NAVFAC and the EFD to manage the SFPS, and review submissions for changes, does not override the responsibility of the Activity PWO and Commanding Officer to insure that the plan supports the assigned mission. Whenever possible, standard planning criteria and the judgement of the EFD and NAVFAC in evaluating a planning issue should be followed. However, where exceptions to standards are necessary in order to properly meet an assigned mission, it is the responsibility of the Activity PWO and Commanding Officer to request waivers as appropriate, and provide the back up information necessary. Issues which cannot be resolved between the Activity, the EFD or NAVFAV will be referred to CNO for final resolution.

PART 2 - CONSTRUCTION PROGRAMMING

4.2.1 Annual Military Construction Program. (Reference: OPNAVINST 11010.1; OPNAVINST 11010.20; and NAVFACINST 11010.44 (current editions).)

A. Introduction. The annual Military Construction Authorization and Appropriations Acts provide authorization

B. Project Submission. Usually, formal calls for Program Year submissions of the DD Forms 1390, 1391, and facility studies will not be issued. Figure 4-11 indicates the Military Construction Time Cycle from activity submission to actual construction for FY82. Major Claimants will provide detailed submission schedules to their activities.

C. Shore Facilities Programming Board (SFPB). The SFPB comprised of representatives of the Major Claimants, is convened annually for the purpose of reviewing a formulated program developed from data contained in the current MILCON RL and recommending to the Chief of Naval Operations the total Navy Military Construction Program. The composition, mission, and tasks of this board are described in OPNAVINST 11010.5 (current).

D. Budget Projects:

1. The amount of funds for the MILCON budget is determined by circumstances external to the programming system and programming of itself has little effect on the size of the PO. Simply the programming system selects the items to fit the dollar limitation of the budget; the selection being based on a number of factors among which are the major claimants priority and CNO/SECNAV stated goals in certain directed programs such as shipyard modernization, pollution abatement, etc.

2. The MILCON budget goes to OSD who then forwards the approved program to Congress via the Office of Management and Budget (OMB) where it is authorized and funded on a project by project basis. The Congressional committees conduct in depth reviews and hearings on all aspects of the projects. The documents used in these reviews of the MILCON programs of all three services are the DD 1390 series forms which are discussed in paragraph 4.2.2. A separate DD Form 1391 is submitted for each project. This form describes the size of the facility and type of construction, itemizes the cost estimate, provides quantitative data covering the total requirement for and the availability of like facilities at the activity and gives a concise statement of the requirement for the proposed project including the effect if the project is not provided. A companion document, the DD Form 1390, gives information on the activity including the mission of the activity and the present and projected personnel strengths.

3. Approximately a year and a half before the MILCON budget is submitted to Congress the individual DD Forms 1390 and 1391, together with further detailed justification, are initiated usually by the activity with the help of the EFD. The Commanding Officer of the activity signs each DD Form 1391 with the statement "Line item scope and description certified adequate to meet mission/functions." The Commander/Commanding Officer of EFD also signs each form under the statement "Cost estimate and facility data certified as to technical adequacy." These documents are forwarded via the chain of command to NAVFAC.

4. The results of the Congressional action, approval or disapproval of individual projects, is fed back into the planning system. As the approved projects are built they are added to the facilities assets. This information is

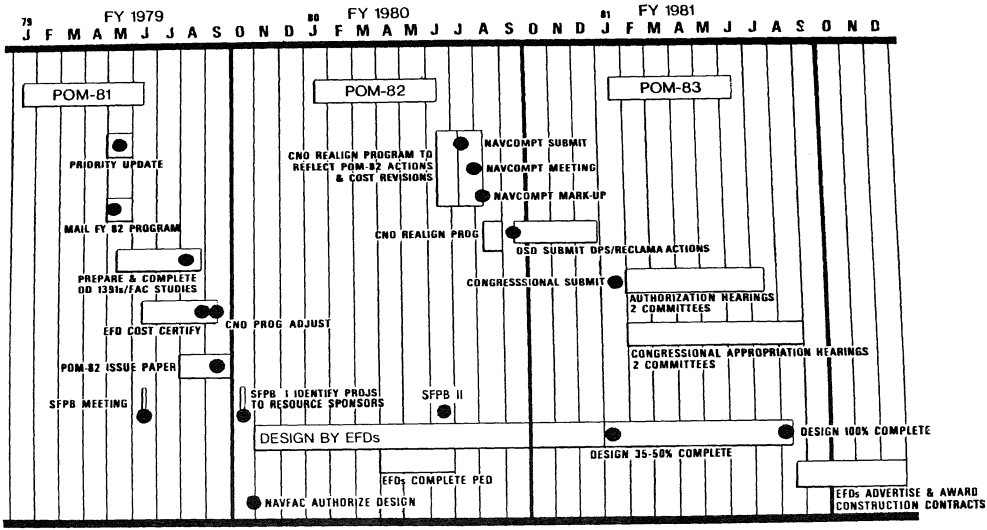


FIGURE 4-11
MILITARY CONSTRUCTION TIME CYCLE

available for use by CNO and other commanders for adjusting the missions and workloads of activities thus starting the planning cycle anew.

4.2.2 Forms for Presentation of MCON Program Projects and Supporting Data. (Reference: OPNAVINST 11010.20; and NAVFACINST 11010.32 (current editions).)

A. General:

1. The Public Works Officer will be involved in the initiation and preparation jointly with the EFD of the Department of Defense Military Construction Forms 1390 and 1391, with continuation and supplemental sheets. These documents are utilized to present proposed construction to correct facility deficiencies as determined by the Shore Installations and Facilities Planning and Programming System. Program data on DD Forms is presented to the CNO and the Secretary of Defense and the Office of Management and Budget for inclusion in the President's budget. Ultimately the program is presented to Congress for authorization and funding.

2. Program data presented on the DD Forms are a justification of the requirement for a new facility and a definiton of the scope governing the final construction effort. Of the numerous documents involved in program development, these DD Forms are the only forms reviewed by the Congress. These forms therefore become part of the Congressional history and are the basis upon which the Naval Facilities Engineering Command executes the Congressional authorization. In consideration of the foregoing, accuracy, consistency and completeness are vital. The various forms for the presentation of military construction program projects are fully described in NAVFACINST 11010.32 (current).

B. DD Form 1390 - Activity Data Sheet:

1. The DD Form 1390 is used to list the items proposed for inclusion in Navy Military Construction and Military Construction Naval Reserve programs which includes requests for (1) new authorization; (2) funding of new authorization; and (3) funding of prior year's continuing authorization.

2. For examples of DD Form 1390 see Figure 4-12. At certain levels of review this form may be used independently to present the activity's programs without supplementing DD Forms 1391. Entries on the form must therefore be as complete and factual as possible for quick comprehension.

C. DD Form 1391 - Project Data Sheet:

1. The DD Form 1391 is used to support each project for inclusion in the Annual Navy Military Construction programs. This includes both new authorization items and prior years' unfunded authorization items in the program.

2. The Continuation Sheet (DD Form 1391c) is

D. DD Form 1930s - Reserve Forces Supplemental Sheet:

1. The DD Form 1390s is used for activities of the Reserve Forces to supplement data entered on DD Form 1390. For a sample illustration see Figure 4-14.

2. As a supplemental sheet, data presented on the DD Form 1390s must be consistent with the related program data contained on both the DD Forms 1390 and 1391.

E. Facility Study Form 1391c. The purpose of the Facility Study is to provide back-up material to each project for which a DD Form 1391 is prepared. For a sample illustration, see Figure 4-15. The DD Form 1391c is used for development of the Facility Study and is attached to the applicable Form 1391 to assist in project review at intermediate and Military Construction Review Board levels. The use of the DD Form 1391c for purposes of presenting the Facility Study should not be confused with the prescribed use of this Form as a continuation sheet for the DD Form 1391. It also provides the basis for witness data required for the CNO/SECNAV presentation of the project to the OSD and to the Congress.

F. Hints for Preparation.

1. The public works officer should carefully review project submittals to insure that all necessary supporting facilities/utilities are identified and included in the project scope; for example, check to insure the station electrical system is capable of handling the new facility loads, the station sewer system is adequate to handle the increased sewage loading imposed by the new facility, etc., etc. Additionally, the public works officer should closely coordinate the generation of DD Form 1391 and 1391c (Facility Study) with the eventual use to insure scope of project is adequate and will meet the needs of the user. Nothing can be more frustrating and embarrasing than to be partially through design and/or to have obtained congressional approval of a project only to discover that supporting facility/utility items were overlooked and/or the scope and design configuration of the primary facility is not sufficient for the needs of the user.

2. Another concern of the public works officer should be the impact of new facilities upon other resources, for example, a new facility may require maintenance and utility resources which the PWO must budget for prior to the facility begin erected. A new facility may impact significantly upon an activities energy conservation program. Perhaps additional personnel will be required by the user to operate in the building or to maintain the facility. The PWO should identify all resources which may be impacted by the facility and make appropriate plans to handle the impact plus the new facility coming on the line.

3. Required as a part of the facility study is the preparation of an Environmental Impact Assessment/statement (EIA/EIS) to satisfy the requirements of the National Environmental Policy Act (NEPA). Refer to OPNAVINST 6240.2 (current) and chapter 12 of this manual which project could have a significant adverse effect on the

1. COMPONENT	FY 19 78 MILITARY CONSTRUCTION PROGRAM	2. DATE
NAVY		1 FEB 1977

3. INSTALLATION AND LOCATION	4. COMMAND	5. AREA CONSTR. COST INDEX
NAVAL STATION, NORFOLK, VIRGINIA	COMMANDER IN CHIEF ATLANTIC FLEET	1.00

6. PERSONNEL STRENGTH:	PERMANENT			STUDENTS			SUPPORTED			TOTAL
	OFFICER	ENLISTED	CIVILIAN	OFFICER	ENLISTED	CIVILIAN	OFFICER	ENLISTED	CIVILIAN	
a. AS OF 9/30/76	3251	43634	9474	80	806	8	91	955	0	58299
b. END FY 19 82	3500	54957	9474	143	1026	8	160	902	0	70170

7. INVENTORY DATA ($000)

a. TOTAL ACREAGE (1,485)	
b. INVENTORY TOTAL AS OF 30 SEP 1976	104,158
c. AUTHORIZATION NOT YET IN INVENTORY	47,739
d. AUTHORIZATION REQUESTED IN THIS PROGRAM	3,800
e. AUTHORIZATION INCLUDED IN FOLLOWING PROGRAM	7,363
f. PLANNED IN NEXT THREE PROGRAM YEARS	47,400
g. REMAINING DEFICIENCY	71,000
h. GRAND TOTAL	281,460

8. PROJECTS REQUESTED IN THIS PROGRAM:

CATEGORY CODE	PROJECT TITLE	SCOPE	COST ($000)	DESIGN STATUS START	DESIGN STATUS COMPLETE
151.20	Pier Extension and Utilities	LS	3,800	2-76	4-77

9. Future Projects:

a. Included in following program (FY 79):

163.20	Dry Dock Mooring Facility	LS	4,975
721.11	Bachelor Enlisted Quarters Modernization	39,366 SF	2,388
			7,363

b. Major planned next three years:

155.21	Deperming Facility	11,863SF	1,153
213.77	Shore IMA Facility	LS	22,100
721.21	Bachelor Enlisted Quarters Modernization	LS	2,875

10. Mission or Major Functions: Provide logistic support for the operating forces of the Atlantic Fleet, tenant activities, and other assigned commands.

Ships & Staff Units assigned to Norfolk
Headquarters, Fifth Naval District
Naval Schools/Training Commands
Naval Engineering/Public Works Commands
Naval Communications Area Master Station
Dispensary/Dental Clinic/Alcohol Rehabilitation Center
Navy Exchange/Special Services
Correctional Center
Port Services
Naval Publication and Printing Service
Navy Supply Center

DD FORM 1 DEC 76 1390
S/N 0102-LF-001-3901

PREVIOUS EDITIONS MAY BE USED INTERNALLY UNTIL EXHAUSTED

PAGE NO.

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FIGURE 4-12
DD FORM 1390 ACTIVITY DATA SHEET

1. COMPONENT	FY 1979 MILITARY CONSTRUCTION PROJECT DATA	2. DATE
NAVY		1 OCT 1977

3. INSTALLATION AND LOCATION	4. PROJECT TITLE
CHARLESTON NAVAL SHIPYARD CHARLESTON, SOUTH CAROLINA	PIPEFITTING SHOP

5. PROGRAM ELEMENT	6. CATEGORY CODE	7. PROJECT NUMBER	8. PROJECT COST ($000)
7 20 28 N	213.55	P-626	6,900

9. COST ESTIMATES

ITEM	U/M	QUANTITY	UNIT COST	COST ($000)
PIPEFITTING SHOP	SF	125,000	40.18	5,023
BUILDING	SF	125,000	38.26	(4,782)
BUILT-IN EQUIPMENT	LS	--	--	(241)
SUPPORTING FACILITIES	--	--	--	921
SPECIAL CONSTRUCTION FEATURES	LS	--	--	(552)
ELECTRICAL UTILITIES	LS	--	--	(78)
MECHANICAL UTILITIES	LS	--	--	(218)
SITE IMPROVEMENT	LS	--	--	(73)
SUBTOTAL	--	--	--	5,944
CONTINGENCY (10%)	--	--	--	594
TOTAL CONTRACT COST	--	--	--	6,538
SUPERVISION, INSPECTION & OVERHEAD (5.5%)	--	--	--	360
TOTAL REQUEST	--	--	--	6,898
TOTAL REQUEST (ROUNDED)	--	--	--	6,900
EQUIPMENT PROVIDED FROM OTHER APPROPRIATIONS	--	--	(NON-ADD)	

10. DESCRIPTION OF PROPOSED CONSTRUCTION

Steel frame building, metal sides and roof, concrete floor on piling, 10-ton overhead travelling crane, railroad spur through building, fire protection system, relocate existing utilities and provide new utility connections. Air conditioning - 48 tons.

11. REQUIREMENTS: 125,000 SF. ADEQUATE: 0 SF. SUBSTANDARD: 98,122 SF.

PROJECT: Constructs new consolidated Pipe Shop.

REQUIREMENT: Overhaul and repair of modern submarines and surface ships requires a well structured shop area allowing optimum arrangement of shop equipment for fabrication of piping systems, refrigeration and air conditioning work, manufacture of gaskets and hangers, and facilities for chemical cleaning.

CURRENT SITUATION: The functions of the Pipe Shop are located in 10 facilities dispensed throughout the shipyard. Shops are overcrowded and equipment poorly arranged in buildings not designed for the purpose. The result is inefficient work flow and excessive costs.

IMPACT IF NOT PROVIDED: Pipe shop functions will continue as inefficient and ineffective operations, and further deteriorate proportionately with aging of existing facilities and equipment.

ADDITIONAL: An economic analysis has been prepared for this project. The payback period is 21 years over a 25 year economic life. An industrial engineering study is currently being performed and a new economic analysis with improved benefits is anticipated.

1. COMPONENT	FY 1979 GUARD AND RESERVE MILITARY CONSTRUCTION	2. DATE
N&MCR		12 SEP 1977
3. INSTALLATION AND LOCATION NAVAL AIR STATION SOUTH WEYMOUTH, MASSACHUSETTS		4. AREA CONSTR. COST INDEX 1.05

5. FREQUENCY AND TYPE OF UTILIZATION

Drill three weekends per month plus annual active duty training for the South Weymouth squadrons/units.

6. OTHER ACTIVE/GUARD/RESERVE INSTALLATIONS WITHIN 25 MILE RADIUS

4 Army Reserve Activities; 3 Navy Reserve Activities; 1 Marine Corps Reserve Activity; 22 Massachusetts National Guard Activities; 1 Army Reserve Lab, and 1 Coast Guard Base

7. PROJECTS REQUESTED IN THIS PROGRAM

CATEGORY CODE	PROJECT TITLE	SCOPE	COST ($000)	DESIGN STATUS START	DESIGN STATUS COMPLETE
136.10	Approach Lighting	LS	273	9/77	2/78
171.15	Training Building Alteration	20,000 SF	520	9/77	2/78
			793		

8. STATE RESERVE FORCES FACILITIES BOARD RECOMMENDATION

18 MAY 77 (Date)

Unanimously approved for unilateral construction

9. LAND ACQUISITION REQUIRED

NONE (Number of Acres)

10. PROJECTS PLANNED IN NEXT FOUR YEARS

P-130	Rehab 01/02 Areas	LS	1,434
P-122	Aircraft Rinse Facility	LS	507
P-140	Storm Sewer	LS	2,700
P-040	Aircraft Parking Apron	LS	3,550
P-043	Perimeter Road	LS	900

DD FORM 1 DEC 76 1390s
Page 1 of 2

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PAGE NO.

FIGURE 4-14

DD FORM 1390s ACTIVITY DATA SHEET

1. COMPONENT	FY 1979 GUARD AND RESERVE MILITARY CONSTRUCTION	2. DATE
N&MCR		12 SEP 1977

3. INSTALLATION AND LOCATION
NAVAL AIR STATION
SOUTH WEYMOUTH, MASSACHUSETTS

11. PERSONNEL STRENGTH AS OF

	PERMANENT				GUARD/RESERVE		
	TOTAL	OFFICER	ENLISTED	CIVILIAN	TOTAL	OFFICER	ENLISTED
AUTHORIZED	931	49	628	254	2283	487	1796
ACTUAL	822	44	534	244	1872	444	1428

12. RESERVE UNIT DATA

UNIT DESIGNATION	STRENGTH AUTHORIZED	STRENGTH ACTUAL
VP-92	343	322
HS-74	147	144
NAS BRUNSWICK 4291	182	128
NAS SO. WEYMOUTH 1291	58	73
NAS OCEANA DET 291	58	46
NAVSTA ROTA 0391	86	75
AIR MAT OFF DET 291	18	12
PATROL WING LANT 491	19	17
VP-0810	169	137
FASOTRGR 0491	45	13
HS 1191	18	31
HSL 3291	72	0
TACTICAL SUP CEN 191	26	17
WEPSUP 0191	21	15
NAVAL WEATHER SERV 1091	20	16

13. MAJOR EQUIPMENT AND AIRCRAFT

TYPE	AUTHORIZED	ASSIGNED
STATION US-2B	1	1
HS-74 SH-3	8	8
VP-92 P-3	9	9
VMA-322 A-4E	12	12
HML-771 UH-1E	6	6

1. COMPONENT	FY 19___MILITARY CONSTRUCTION PROJECT DATA	2. DATE
NAVY		
3. INSTALLATION AND LOCATION		
4. PROJECT TITLE		5. PROJECT NUMBER
FACILITY STUDY - (Project Title)		

(For description or content of each paragraph listed below, see Part II of the basic instruction.)

1. Project
2. Current and Planned Future Workload with Regard to this Project
3. Description of Proposed Construction
4. Cost Estimates
5. Justification for Project and for Scope of Project
6. Equipment Provided from Other Appropriations
7. Common Support Facilities
8. Effect on Other Resources
9. Siting of the Project
10. Other Graphic Presentations, Including Photographs
11. Economic Analysis
12. Environmental Impact
13. Quantitative Data

proposed action in order that adverse environmental effects may be avoided or minimized and environmental quality previously lost may be restored. The public works officer should use the environmental impact/assessment statement process to explore alternative actions that will avoid or minimize adverse impacts and to evaluate both the long and short-range implications of proposed actions to man, his physical and social surroundings, and to nature.

4. Another important consideration that may have long term implications on the activities OM&N resources is the type of construction which is chosen for a new facility, i.e., concrete block, steel frame, shingle roof, etc. The activity planner usually makes the decision as to type of construction on the DD Form 1391 and 1391c. It is important that sufficient thought go into selection of construction material to keep the "life cycle cost" of the facility at a minimum. The activity planner should enlist the assistance of the maintenance-control division and/or EFD in making appropriate choices of major material components for the new facility.

4.2.3 Project Engineering Documentation (PED) for Military Construction Projects. (Reference: NAVFACINST 11010.14 (current).)

A. General. Prior to the forwarding of the DD Forms to NAVCOMPT and OSD for their review and before submittal of the program to Congress, each project in the annual program is subject to a detailed engineering analysis. Projects to be funded under the MCON and MCNR appropriations may be subject to PED's.

B. PED Preparation. The NAVFAC authorization to the EFD to proceed with the project design will indicate that the preparation shall be in the form of an updated PED, a partial PED, a complete PED, or a 35% final design. The method of accomplishment is usually left to the discretion of the EFD and may involve station forces, EFD inhouse forces or an Architect-Engineer firm. The various forms of PED and the methods of accomplishment are fully described in NAVFACINST 11010.14 (current).

C. Project Cost Escalation. There seems to be a tendency for the PED cost of a project to exceed the amount aproved for inclusion in the program. This is due to several factors, including: (1) unusual engineering problems; (2) poor initial cost estimate; (3) construct a market cost rise; or (4) "scope creep." Prior to the PED greater emphasis should be placed on the preparation of the initial cost estimate, giving due consideration to such factors as construction market cost rise, since it is this estimate that is the basis for PED authorization. It is during the preparation of the PED, however, that close cooperation and coordination between the user activity, EFD, and the Major Claimant will be required to control any increases in scope above the minimum necessary to satisfy the deficiency.

4.2.4 Non-Appropriated Fund Projects. (Reference OPNAVINST 11010.20 and NAVINST 11010.44 (current editions).)

A. Policy. Non-appropriated funds are used primarily for

B. Funding. Depending upon the nature of the facility, financing of alterations and construction of recreational facilities may be derived from:

1. Local activity, command, or BuPers Central Recreation Funds.
2. Local or BuPers Commissioned or Petty Officers Mess Funds.
3. Navy Resale Office Central Office Reserve.
4. Commissary Store Reserve Funds.
5. Navy Exchange Enlisted Men's Clubs Retained Earnings.
6. Navy Exchange, Navy Lodge Retained Earnings.
7. Special Funds.

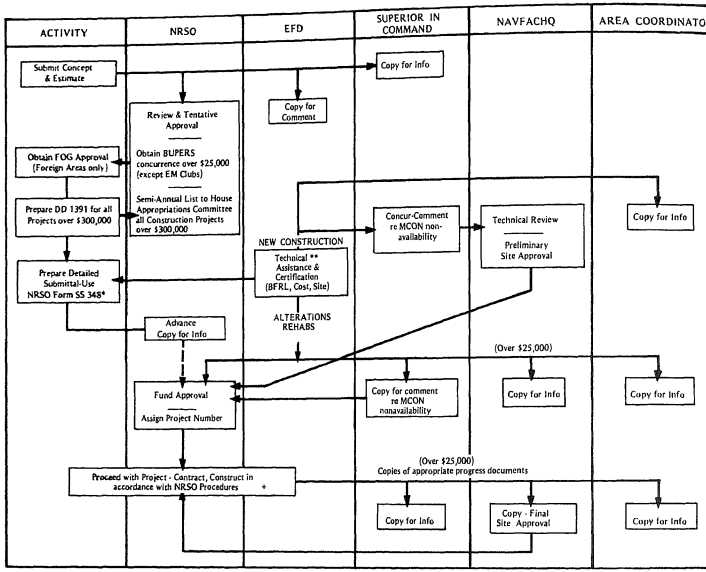
C. Procedures. Programming procedures for individual projects within the non-appropriated funds programs are the joint responsibility of the Naval Facilities Engineering Command together with the Navy Resale Systems Office (NRSO) of the Supply Systems Command or the Chief of Naval personnel depending upon the nature of the project involved. Procedures for obtaining non-appropriated fund assistance for programs administered by the Bureau of Naval Personnel are outlined in the Special Services Manual, NAVPERS 15869B. Procedures for obtaining nonappropriated fund assistance for programs administered by NRSO are outlined in Figure 4-16, "Sequential Flow Diagram for Planning and Programming Facilities Projects Sponsored by NRSO." In all cases, the procedures of NAVFACINST 11101.44 (current) as described in Part 1 of the chapter are to be followed as they relate to identification of requirements, assessment of existing facilities and reporting of excesses and deficiencies.

4.2.5 Special Consideration.

A. Health and Medical Facilities. The programming of Military Health and Medical Facilities requires a deviation from the normal procedures described heretofore. Review and approval of the Medical Construction Program (MCP) items by the Deputy Assistant Secretary of Defense (Health and Medical) is required prior to inclusion in Department of Defense Annual Military Construction Program and is in addition to the regular Navy Military Construction Program review promulgated by OPNAVINST 11010.1 (current) and NAVFACINST 11010.44 (current). The Chief, Bureau of Medicine and Surgery has been assigned technical responsibility for coordination of the Health and Medical Facilities Program. Activities should request the assistance of BuMed, therefore, in the formulation of any project relating to that program. the procedures described in Part 1 of this chapter, however, should be followed as they relate to identification of requirements, assessment of existing facilities and reporting of excesses.

B. Combined Navy and Marine Corps Training Centers. Combined Navy and Marine Corps Reserve Training Centers are under the command of the Chief of Naval Operations. The facility programs for these activities are coordinated and administered by the Chief of Naval Reserves. The Marine Corps elements of these combined centers, however, are to be considered as Tenants and will perform their facility planning and programming as directed by the Commandant of

same manner as for any other [illegible] programming, funding and construction of specific facility projects sponsored by the [illegible] N.Y., the procedures outlined in the chart below will apply.



* Procedure defined in NRSO INST 11107.9 of 22 Dec 1969
** Evaluate and Comment re applicability of "Self-Help" Program
\+ To be issued separately

FIGURE 4-16
SEQUENTIAL FLOW DIAGRAM FOR PLANNING AND PROGRAMMING FACILITY PROJECTS SPONSORED BY NAVY RESALE OFFICE (OTHER THAN MCON)

C. Collateral Equipment. Chapter 10, Equipment and Furnishings provide an excellent discussion and explanation of the collateral equipment required to initially outfit the proposed facility to include:

Built-in equipment to be MCON funded.
Personnel support equipment.
Expense Items (desk, chairs, file cabinets, etc.)
Investment items (duplicating machines, shop equipment, etc.)
Appropriation Purchase Account Equipment

4.2.6 Marine Corps Activities.

A. Coverage. Shore activities under the command of the Commandant of the Marine Corps do not follow the OPNAV and implementing NAVFAC directives as applies to the shore facility planning system. The CMC instead has promulgated separate instructions to Marine Corps activities for planning and programming facility requirements.

B. Procedures. The following is a short thumb nail sketch of the activities responsibilities in CMC's planning system which very closely parallels the OPNAV/NAVFAC Planning and Programming System.

1. Submittal, via intermediate commands, of up-to-date form NAVMC 10915 (BFRL Item Determination Sheet) as required to reflect current facility requirements based on the approved logistic support requirements (LSR) or guidance provided by higher authority.

2. Maintenance of up-to-date real property inventory record inputs, which fully support the existing assets data of the Marine Corps Facility Planning and Programming System, and analysis of existing assets (form NAVMC 10651 (Engineering Evaluation Work Sheet)) printouts, as the basis for determination of deficiencies and excesses.

3. Submittal, via intermediate commands, of form NAVMC 10801 (Activity Facilities Plan).

4. Submittal, via intermediate commands, of OPNAV Form 11000/4 (Summary of Facility Deficiencies).

5. Submittal, via intermediate commands, of DD Form 1391 (Military Construction Project Data) with accompanying facility study, economic analysis, and other supporting data. Assistance in the preparation of such submittal data may be requested from the appropriate engineering field division (EFD) of the Naval Facilities Engineering Command (NAVFACENBCOM), as required.

6. Submittal of OPNAV Form 11000/5.

C. Comparison. Once the reader understands the OPNAV/NAVFAC SIFPPS it is relatively easy to make the transition to the CMC Facilities Planning and Programming System. To assist in making that transition refer to Figure 4-17.

A. Background. The Naval Facilities Engineering Command has established a program for developing comprehensive Master Plans in support of all major Navy and Marine Corps activities. Master Plans may be developed in support of: (1) a single naval activity not located in proximity to another activity, or (2) complexes of naval activities located in the same geographical area. Master Plans portray in graphic and narrative form the present composition of the activities' facilities and comprehensive plans for their orderly development in accordance with approved basic facility requirements. Upon approval by the Chief of Naval Operations, Master Plans are official planning documents for the activities. They become the media for maintaining continuity in future planning and development, thus obviating problems associated with changes of command and individual preferences. Approved Master Plans are utilized for siting all future facilities to ensure maximum economy of construction and operating efficiency and for evaluating the capability of the activities to meet their assigned missions and any contemplated changes thereto. The presence of a prospective facilities project in an approved Master Plan document does not of itself represent justification or CNO approval of that particular project. Likewise, the inclusion of a proposed demolition or other type of disposal on an approved Master Plan does not constitute CNO approval for that disposal. In both instances, the basic SIFPPS procedures outlined in Part 1 of this chapter must be followed.

B. Definitions:

1. Master Planning. Master Planning is defined as the scientific art of comprehensive planning performed for an activity or a complex of activities to assure the timely and orderly physical development of facilities required to support present and future military operations. This process blends considerations of the total environment including physical characteristics, operational necessities, human interests, natural resources, and areas of mutual interest beyond station boundaries.

2. Master Plan. The Master Plan is the official planning document for the Naval activity or complex of activities covered by the Plan. It represents in graphic, narrative and tabular form the present composition of the activity and proposes the timely, efficient and orderly physical development required to perform its assigned mission and to meet its planned operational workload. The Master Plan also provides information useful in planning the operational expansion of the activity beyond its present mission up to its maximum capability. Most master plans contain architectural concepts for the particular activity. It is important that this concept be recognized in the planning and design of new buildings so that they will be compatible with existing and/or future structures in the area.

C. Procedures. Master Plans are prepared by NAVFAC Headquarters of the appropriate EFD either in house or by outside contract. Although the activity is not directly responsible for master plan preparation, the Commanding Officer is required to signify his concurrence with the planned development in satisfying military operational

SUBJECT	OPNAVINST 4000.72	MCO 4000.20
Logistic Support Requirement		
Shore Installations & Fac. Planning & Programming	OPNAVINST 11010.1	MCO P11000.12
Shore Facilities Planning Manual	NAVFACINST 11010.44	MCO P11000.12
Preparation of MILCON Projects	NAVFACINST 11010.32	MCO P11000.12
General Development Maps	NAVFACINST 11010.29	MCO P11000.12
Master Plans	NAVFACINST 11010.45	MCO P11000.12 & NAVFACINST 11010.45
Approval of Master Plans	OPNAVINST 11010.24	MCO P11000.12

FORM TITLES	FORM NUMBERS	
Basic Facilities Requirements List	OPNAV 11000/1	NAVMC 10915
Evaluation of Existing Assets	OPNAV 11000/2	NAVMC 10651
Summary of Deficiencies & Excesses	OPNAV 11000/3	NAVMC 10801
Correction of Facility Defieiencies	OPNAV 11000/4 (Rev. 5-73)	OPNAV 11000/4 (Rev. 3-71)
Disposal of Facility Excesses	OPNAV 11000/5	OPNAV 11000/5
MILCON Program	DD 1390	DD 1390
MILCON Project Data	DD 1391	DD 1391
Facility Study	DD 1391C	DD 1391C
MILCON Program - Naval Reserve Supplemental Data	DD 1391S	DD 1391S

FIGURE 4-17
COMPARISON OF CMC AND OPNAV
PLANNING & PROGRAMMING DIRECTIVES AND FORMS

requirements. Master plans are updated periodically and republished to maintain them current with changing conditions.

D. Preparation. Detailed instructions for the preparation of Master Plans are contained in NAVFACINST 11010.63 (current) and include:

1. Procedures for preparing review and approval of Master Plans.
2. Standardized Format and Contents.
3. Scope of work for Master Plans.
4. Environmental Impact Assessment.

4.3.2 General Development Maps. (Reference: NAVFACINST 11010.29 (current).)

A. Background. The Naval Facilities Engineering Command has been assigned responsibility for the preparation of General Development Maps for all Naval Shore Activities. These maps constitute graphical representations of the existing conditions and show, among other things, the location of all planned military construction projects which are valid peacetime facility deficiences. They have been used, and will continue to be used for many of the smaller activities, as abbreviated Master Plans. NAVFAC HQ maintains files of the latest issues of all General Development Maps. These maps are used at the Departmental level on a day to day basis in making determinations for site selections and/or approvals of new facilities. NAVFACINST 11010.29 (current) contains instructions relative to the approval and distribution of General Development Maps. This instruction provides procedures for the preparation and submission of General Development Maps, as well as requirements for the

A. Definitions. An encroachment on Navy real property is considered to be any action or development, planned or executed, on non-Navy owned real property within the vicinity of an naval activity which inhibits, curtails or possesses the potential to impede the performance of the mission of the installation.

B. Discussion. Land and resource development which may jeopardize present or future use of Navy real property is a matter of continuing concern. Natural growth of communities surrounding an installation generates pressures for expanded or higher intensity resource development which in turn may interfere with the execution of an activity's basic mission or its future operating potential. Encroachment problems are varied in nature and in some instances, extensive in magnitude and include both existing and potential interference with Navy use of Navy real property. Encroachment problems are not limited to highly populated areas where an installation is integrated with industrial, commercial, and residential land uses. However, in thse situations, the problems are more readily recognized and the results of nchecked encroachment more dramatic. Curtailment of or total discontinuation in some instances of aviation operations, ammunition storage facilities, and communication stations as a result of off-station residential or commercial development are examples of former encraochment problems which have progressed beyond the stage of effective control measures. Installations in sparsely populated areas are not necessarily immune to encroachment from off-station resources. New highway construction, industrial expansion, commercial airport, and recreational facility developments are examples of potential encroachment problems. These facilities and similar type developments frequently act as magnets which attract allied development and increased population into hitherto under-utilized regions. The early detection of potential encroachments and the assessment of their impact on Navy use of Navy real property is essential to a program for protecting and maintaining the future usefulness of Navy installations.

C. Public Works Officer and Encroachment. It is usually the public works officer who is tasked by the commanding officer to deal with encroachment problems. To preclude, or at least minimize encroachment, the public works officer should take the following steps as a minimum:

1. Anticipate potential problems as far in advance as possible in order to minimize ultimate remedial action and cost.

aware of continuing operational requirements.

3. Exercise all available local authority to solve, where possible, external conflicting developments.

4. Submit a Project Guardian Encroachment Report as detailed OPNAVINST 11011.12 (current). "Safeguarding Navy Investments in Real Property." This report establsihes procedures for identification, analysis, updating, and reporting of existing and potential civilian encroachment on Navy real property as well as keeping the chain of command, including EFD and Area Coordination, informed of encroachment problems.

D. Air Installation Compatible Use Zone (AICUZ). A specific form of encroachment which ahs become particularly severe and which is receiving a great deal of attention is community encroachment, especially residential development, on privately owned lands abutting military air installations. Since enactment of the Federal "Noise Control Act of 1972", local communities are becomming more aware of aircraft noise and increasing pressure is being exerted by local governments and citizens groups to restrict military flight operations. To assure that people and facilities are not concentrated in areas which are susceptible to high aircraft noise levels and aircraft accidents, and that the operational capabilities of military air installations are maintained, the Department of Defense has established the AICUZ Program. SECNAVINST 11010.9 requires that AICUZ Studies be conducted at air installations and that an AICUZ Plan be developed for each installation. These plans will form the basis of an integrated Navy and Marine Corps AICUZ Program.

1. **Program Objectives:** Navy policy is to achieve compatibility between installations and enighboring civil communities. In consonance with this policy the principle objectives of the AICUZ Program are: (a) to ensure that protected and that full operational capabilities of these installations are maintained; (b) to reduce noise pollution caused by aircraft operations at and in the vicinity of air installations; (c) to safeguard the safety, health, and welfare of the public from development which is not compatible with aircraft operations; and (d) to establish liaison and apprise the general public of the Navy and Marine Corps AICUZ Program and of current efforts to minimize noise pollution and aircraft accident potential in the vicinity of air installations.

Facilities "Special Project" submission, therefore, soon becomes a familiar instrument to the PWO in achieving this end. Since there is never enough money in the coffers of the major claimant to fund all special project requests, priorities must be assigned, based upon perceived needs. Thus, the key to success in maintaining a high "batting average" for approval of special project requests will depend, in large measure, on the relative accuracy, skill, and eloquence with which the PWO and his staff can express concerning requirements. Of even more elementary importance, however, is the knowledge of the qualitative and quantitative limitations placed on local authority, and the various routes to project approval associated with each limitation. This chapter seeks to define these limitations, illuminate the preparation of the submission of claims for the various types of projects, and to guide the Public Works Officer towards the pertinent directives which are available on the subject. Special project submission for family housing facilities are discussed in Chapter 9 of this manual.

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in charge.

Addition, Expansion, Extension. A physical increase to a real property facility that adds to the overall external dimension of the facility. Generally includes any increase in the unit of measure used to describe the facility in the Real Property Inventory (RPI).

Alteration. Work required to adjust interior arrangements, on-base location, or other physical characteristics of an existing facility so that it may be more effectively adapted to or utilized for its designated purpose. Additions, expansions, and extensions are not alterations.

Claimant Funded Minor Construction. All construction work funded from appropriations available for operations and maintenance (O&MN, RDT&E).

Commanding Officer. The Commanding officer, officer in charge, commander, director (or other appropriate title) of an activity, which receives an allotment of funds from an appropriation available for operations and maintenance, or which operates under an industrial fund or on a modified industrial accounting system.

Commercial and Industrial Facilities. Facilities that normally perform services or produce goods similar to those produced by private industry, except commissaries, post exchanges, and other non-appropriated fund activities.

Construction. The erection, installation, or assembly of a new facility; the addition; expansion, extension, alteration, conversion, or replacement of an existing facility; or the relocation of a facility from one installation (an "activity" as previously defined) to another. Includes equipment installed and made a part of such facilities, and related site preparation, excavation, filling and landscaping, or other land improvements.

Construction Project. A single undertaking involving construction applicable to one or more real property facilities that will include all construction work, land acquisition, and items of installed equipment necessary to accomplish a specific purpose and produce a complete and usable real property facility or a complete and usable improvements to a real property facility. Items of personal property (furniture and production, processing, training, RDT&E etc., equipment) unless otherwise specified, are not to be included in a construction project.

Conversion. A major structural revision of a facility that changes the functional purpose for which it was originally designed or utilized.

surroundings. Performed as an element of a construction project when so related, otherwise performed as a repair.

Dissimilar Real Property Facilities. Facilities that have different 3-digit category codes.

Emergency Construction. All construction funded by military construction appropriations under the authority of Section 202 of the current Military Construction Authorization Act. (Section number may vary with each MCON Authorization Act.)

Exigent Minor Milcon (EMM) Construction projects costing in excess of the limit allowed for O&MN funded projects (generally claimant funded projects), and which must be completed sooner than would be possible if processed through the regular MILCON process.

Functional Purpose. The use made of a facility or part thereof as expressed in the general terms listed as 3-digit basic categories. As used herein, the term "functional purpose" shall be considered as applying to the purpose to be served after completion of construction.

Funded Project Cost. Total out-of-pocket expenses whether from appropriated funds, nonappropriated funds, or overhead at NIF and Modified Industrial Activities. Includes direct labor charges; overhead costs; all contract costs, except A&E fees; acceleration of direct labor costs; cost of direct material used in the project; and cost of land acquisition. For minor construction, also includes directly related transportation costs, overhead costs that may be charged by NAVFAC, and directly related travel and per diem for troop labor. Excluded "unfunded project costs" defined in this Glossary.

Installation of Equipment. The work necessary to install or relocate equipment (personal property) procured for a purpose other than an undertaking for construction, alteration, repair, or maintenance of a facility.

Installed Equipment. Sometimes called "built-in-equipment," it is accessory equipment and furnishings that are required for operation and affixed as a part of the building or facility. The equipment is engineered and built into the facility as an integral part of the final design, as an essential part thereof. Equipment of this category is considered part of the facility and is normally taken up as Real Property Class 2.

Maintenance. The recurrent, day-to-day, periodic, or scheduled work, required to preserve or restore a facility to such condition that it may be effectively utilized for its designated purpose. Includes work undertaken to prevent

Minor Construction. This term describes all construction financed: (1) with funds available for operations and maintenance, (2) from overhead at Naval Industrial Fund and Modified Industrial Activities, (3) with military construction appropriations under the authority of 10U.S.C. 2674 for the Active Forces when urgently required, and (4) with military construction appropriations under the authority of 10 U.S.C. 2233 (a) for reserve forces when specifically identified as "minor construction" in the approved annual MCNR budget.

Categories of minor construction include: (1) Specified Locations Minor MILCON (SLMM), (2) Exigent Minor MILCON (EMM) and (3) Claimant Funded Minor Construction (CFMC).

Multiuse Facility. A facility that has more than one functional purpose although assigned to one category code. To classify a facility under this heading, the functional purposes included must be unrelated.

Personal Property. Sometimes called "plant equipment" or "equipment in place." It is accessory equipment and furnishings that are movable in nature and not affixed as an integral part of the facility. These items are usually taken into inventory as items of Class III or IV Plant Account.

Project. A single planned undertaking of construction, repair, maintenance work, or equipment installation either separately or in combination, necessary to satisfy a finite requirements. Not to be confused with the term "project" as used in congressional military construction legislation.

Real Property Facility. A separate individual building, structure, or other real property improvement. A real property facility shall be assigned only one 3-digit category code based on the primary construction category.

Repair. The restoration of a facility to such condition that it may be effectively used for its designated purposes by overhaul, reprocessing or replacement of constituent parts or materials that have deteriorated by action of the elements, or wear and tear in use, and have not been corrected through maintenance.

replacement is in order when damage exceeds 50 percent of the replacement cost of the facility.

Similar Real Property Facilities. Facilities having the same 3-digit category code.

Special Project. A project-above the approval authority of the commanding officer-for maintenance, repair, minor construction, or equipment installation, to be financed from appropriations available for operations and maintenance from overhead, or from nonappropriated funds.

Specified Locations Minor MILCON (SLMC). Construction projects costing in excess of the limit allowed for claimant funded projects, but not more than $500,000, and are to be processed through the regular MILCON process.

Support Agency. The bureau, command, systems command, or office that is assigned the responsibility to provide resources to an activity-as in the case of RDT&E; or the bureau, command, systems command, or office that is responsible for providing "personal property" equipment to a shore activity.

Unfunded Project Cost. Costs used for statistical purposes only, or in requests for funds as in case of A&E fees. Unfunded project costs include:

Costs financed from military personnel appropriations.

Depreciation of Government-owned equipment.

Materials, supplies, and installed capital type-equipment obtained on a nonreimbursable basis or as excess distributions from other than the Department of the Navy.

Engineering services, such as soil borings, surveys, inspections, and various types of testing.

Planning and design costs. When plans and specifications are done on A&E contract, in no event shall the A&E fee exceed 6 percent of the estimated cost of construction. The A&E fee limitations, however, do not apply to engineering services.

PART 1 - FACILITIES PROJECTS

5.1.1 Introduction. When referring to Operations and Maintenance funding for Navy activities, the current policy is to allow as much work as possible to be funded and administered locally by the resident Public Works Staff. All work of this nature should reflect the needs of the activity to carry out its assigned mission with a minimum of delay. This type of priority can best be decided by the local Public Works staff working in conjunction with tenant commands and the activity Commanding Officer. Under such an arrangement the activity requests an operating budget for the next fiscal year which reflects these needs. Because of limitations in funding and the competition for funds by the many activities under each major claimant, not all O&M,N projects required by the activity can be completed annually.

Because only the major claimant is in a position to decide the relative importance of all the various missions of activities under its command, he must decide which projects should receive funding during a particular year. OPNAVINST 11010.20 series was written with this idea in mind. Also referred to as the "Facilities Projects Manual", it sets guidelines for activities and major claimants to administer the Navy's facility projects program. The basic guidelines of the Manual can be summarized as shown in Figure 5-1.

The annual maintenance and operations program shown in Figure 5-1 as Program I, is administered locally, and with few exceptions, requires no approval from higher authority. This type of work represents the bulk of the expenditures at an activity during a year. When a requirement exceeds the dollar limitations shown for Program I, a special project must be prepared and approval from higher authority is required. The "Facilities Projects Manual" covers ways and means of preparing special projects and the exceptions to these rules. The first Section (Chapters 1 through 6) covers the various categories of work encountered. The second Section (Chapters 7 through 11) disusses methods of preparing the projects.

The OPNAVINST 11010.20D describe significant changes to many established rules and procedures. Notable changes include new rules defining incrementation of minor construction projects; reviewed titles and format the establishment of new categories of minor construction, including funding limits appropriate to MILCON as well as O&MN fund sources. Therefore it is necessary for anyone involved in the preparation of facility projects to secure a copy of the latest OPNAVINST 11010.20, and review it thoroughly in order to become familiar with the new rules and regulations.

The Facilities Projects Manual reflects the Navy's current policy of giving as much responsibility as possible to the activity Commanding Officer. Under this concept the activity Public Works Officer is now responsible for complete preparation of the special project and must certify as to validity and technical correctness of the requirement. Should expertise be lacking locally, the geographic Engineering Field Division of the Naval Facilities Engineering Command is available for consultation. It must be emphasized that the validity of a project still is the final responsibility of the familiar as possible with the "Facilities Projects Manual." The success of failure of a special project depends largely on the amount of care utilized in preparing the proejct submittal and the persistence and knowledge of a PWO in convincing the major claimant of the worthiness of a particular project.

This chapter will introduce the reader to some of the material covered in the manual. Due to space limitations, the topics covered are not of sufficient depth to prepare any but the most simple and straight forward projects. Only a complete study of the manual itself and on-the-job experience will enable the reader to prepare a complete project.

5.1.2 General. The types of work which a PWO will be called upon to perform upon the facilities at his station fall into four separate categories. Briefly, the work will be either maintenance, repair, construction, or the installation of equipment. The latter pertains to Class III and IV property as discussed in Chapter 10. OPNAVINST 11010.20 (current), Facilities Project Manual is the "bible" amd primary reference source for facility projects. Not covered in this chapter or in OPNAVINST 11010.20 are projects financed from the Regular or Naval Reserve Military Construction Programs, from the Family Housing Appropriation or from Marine Corps Appropriations.

5.1.3 Types of Work. The resources used for station facilities will depend upon category of work, type facility involved (public quarters vs the Administration building), and also the accounting system employed at the activity (RMS vs NIF). Briefly, the primary categories of work are defined as follows:

A. Maintenance. The recurrent, day-to-day, periodic, or scheduled work, required to preserve or restore a facility to such condition that it may be effectively utilized for its designated purpose. Includes work undertaken to prevent damage to a facility that otherwise would be most costly to restore.

B. Repair. The restoration of a facility to such condition that it may be effectively used for its designated purposes by overhaul, reprocessing or replacement of constituent parts or materials that have deteriorated by action of the elements, or wear and tear in use, and have not been corrected through maintenance.

C. Construction. The erection, installation, or assembly of a new facility; the addition, expansion, extension, alteration, conversion, or replacement of an existing facility from one installation (an "activity" as previously defined) to another. Includes equipment installed and made a part of such facilities, and related site preparation excavation, filling and landscaping, or other land improvements.

D. Installation of Equipment. The work necessary to install or relocate equipment (personal property) procurred for a purpose other than an undertaking for construction, alteration, repair, or maintenance of a facility.

5.1.4 Funding Authority. The means of accomplishing the foregoing types of work are controlled by the funds to be

PROGRAM	CATEGORY OF WORK		PROJECT APPROVAL	APPROPRIATION
ANNUAL *** MAINTENANCE & OPERATION	MAINTENANCE*	< $ 25,000		
	REPAIRS	< $ 25,000		
	CONSTRUCTION	< $ 15,000	COMMANDING OFFICER	O&MN (LOCAL)
	EQUIPMENT INSTALLATION	< $ 1,000		
	EQUIPMENT INSTALLATION	$ 1,000 - 10,000		OPN (LOCAL)
SPECIAL PROJECTS	MAINTENANCE*	> $ 25,000	SPONSOR	O&MN (Major Claimant)
	REPAIRS**	$ 25,000 - 400,000	SPONSOR	O&MN (Major Claimant)
	EQUIPMENT INSTALLATION	> $ 10,001	SPONSOR	OPN (SPONSOR)
	MINOR CONSTRUCTION	$ 15,000 - 100,000	SPONSOR	O&MN (Major Claimant)
	REPAIRS	> $400,000	ASN (M, RA & L) & DASD (I & H)	O&MN
		> $100,000 & 50% Replacement		
EMERGENCY PROJECTS	RESTORATION OF DAMAGED FACILITIES		ASN (M, RA & L)	MCN
	EXIGENT MINOR CONSTRUCTION (EMM)	$100,000 - 300,000	CNO	MCN (EMM)
		$300,000 - 400,000	ASN (M, RA & L)	MCN (EMM)
		$400,000 - 500,000	DASD (I & H) & ASD (COMPT)	MCN (EMM)
	EMERGENCY CONSTRUCTION	< $10,000,000	DASD (I & H)	MCN
MILITARY CONSTRUCTION	MINOR CONSTRUCTION (SLMM)	$100,000 - 500,000	CONGRESS	MCN (SLMM)
	CONSTRUCTION	> $500,000	CONGRESS	MLN
	REAL PROPERTY ACQUISITION	> $ 50,000	CONGRESS	MCN

* Applies to SPECIFIC Maintenance, No Limit on Continuous Maintenance.
** Does not apply to repairs where the project cost exceeds $50,000 and exceeding 50% of replacement cost of the facility.
*** Program also allows for funds to be used for basic operation, transportation support and utilities.

FIGURE 5-1
APPROVAL AND FUNDING OF WORK ON FACILITIES

considered either as overhead in the case of buildings and equipment or may be treated as direct cost when they involve utility distribution systems or facilities used in direct support of production. In the case of continuous maintenance, usually there are no dollar limits and these costs must be recovered from NIF customers as overhead in the rate sturcture. All major maintenance and repair facilities projects costing over $25,000 (may be increased to $50,000 by command responsible for management of the activity) that are to be funded as an overhead expense must be approved by the appropriate chief, commander, or head of the command, bureau, systems command, or office. All alterations to production facilities, costing $0-$50,000 shall be charged to overhead, provided such a project is necessary to maintain or improve the operating efficiency and to reduce costs of the Navy Industrial Fund or Modified Industrial Activity.

Costs of acquisition and improvement of real property and equipment which meet the criteria for plant property are financed in much the same manner as are those at an activity operating under the Resources Management Systems.

B. Appropriations Funded Projects. If the activity is operating under the Resources Management System, it receives an approved operating budget from its major claimant chain of command. There are four distinct fund sources which may be employed. The fund sources are identified as programs on Figure 5-1, and the programs operate as follows:

1. Annual Operation and Maintenance. Provided by the major claimant in the activities expense operating budget (EOB), under the cognizance of the activity commanding officer for the performance of tasks as identified.

2. Special Projects. Various major claimants impose different controls on the O&M program (above) requiring claimant approval. Funding and approval of typical special projects are listed in Section II of Figure 5-1. Projects which should be included in special projects request by the activity are as follows:

a. Minor construction projects having a funded cost in excess of $15,000 but not over $100,000 ($15,000 to $50,000 for Reserve Forces activities).

b. Repair projects having a funded cost in excess of $25,000 (over $10,000 for Reserve Forces activities).

c. Specific maintenance projects having a funded cost in excess of $25,000 qualifying as a special project. Submission of maintenance work as a special project request should be the exception rather than the rule. Only in highly unusual cases should a special project request for maintenance be forwarded for project funding. Such maintenance projects would be submitted only under one or more of the following circumstances.

(1) When the project proposes major maintenance work (specific maintenance) that is beyond the resources normally provided for recurring work (continual maintenance).

status with minimum delay. This type of work normally lends itself to contract accomplishment rather than to station labor.

(3) When the funded project cost is in excess of $100,000 and involves International Balance of Payments (IBOP).

d. Equipment installation projects when the planned work exceeds:

(1) $10,000 for the nonconstruction costs, or

(2) $15,000 for the construction costs, or

(3) $25,000 for the repair costs.

e. Combination projects when one or more of the separate categories of work meets the criteria in the foregoing subparagraphs 1 through 4. Projects to be excluded from Special Projects Request:

(1) Projects within the approval authority of the commanding officer.

(2) Construction projects having a funded cost in excess of $100,000 (over $50,000 for Reserve Forces activities). Refer to Chapter 4 of this manual for projects in excess of $100,000 construction.

(3) Projects involving family quarters (public and rental). Refer to Chapter 9 of this manual for project funding of family housing.

(4) Construction projects properly financed solely from appropriations for procurement and production.

(5) Projects for certain specified facilities to be funded from research, development, test, and evaluation appropriations.

3. Special Project Submission Procedures

a. Policy. Special projects in general are submitted in two steps. The first step submission will identify the requirement and provide an approximate estimate of cost. The second step submission, made at the time when funding appears probable, will include the engineering and detailed cost data necessary to define and justify work to be done.

The two step procedure is used only for projects which are funded from Operations and Maintenance (O&M) or Research, Development, Test and Evaluation, Navy (RDT&E, N) appropriations. It is not required for projects that are funded from overhead at Navy Industrial Fund (NIF) or Modified Industrial activities for projects in specific programs such as Pollution Abatement or All Volunteer Forces.

b. Step One. The shore activity prepares the special project request form, NAVFAC 11014/64, an example of which is illustrated by Figure 5-2 and 5-4. The Shore activities submit special project requests to the major claimant with information copies to appropriate superiors in the chain of command and to the geographical EFD. An exception to this are activities which come under the

request form, NAVFAC 11014/64 and a Cost Estimating Form, NAVDOCKS 2417. Refer to Figure 5-3 and 5-5 for examples of Step Two Special Project submission. It is also important to note that the cost estimate on the Step Two submission clearly show the relative cost of limitations imposed on accomplishment of various types of work. The activity Public Works Officer certifies the correctness of the document. If the necessary engineering disciplines are not available at the activity, the project may be forwarded via the geographic EFD for technical review and certification. The need for providing justification of each special project write up cannot be too strongly stressed. Increasing emphasis is being placed upon cost avoidance and budgets oriented to the military mission. Therefore, each project should be thoroughly evaluated on the basis of its contribution to the support of the activity's military mission, conformance with the SFPS, and the economic need for any given repair or nonrecurring maintenance project. The validity of the need for the proposed repair and/or maintenance project should be substantiated by the provision of specific cost data. An "impact if not provided" statement in most cases should be included in the justification to assist in "selling" the project.

d. Exceptions on Submission.

(1) Restricted projects which are discussed below, projects for ordnance facilities where site clearance approval is involved, repair projects with funded costs over $400,000, projects for restoration of damaged facilities, repair projects with funded costs exceeding 50 percent of the facility replacement cost, pollution abatement projects, and electronics equipment installation projects are submitted to NAVFAC via the geographical EFD and the major claimant with copies to other concerned commands. NAVFAC processes the project to the appropriate approval authority. Additional submission guidance for electronics equipment installation projects is provided in OPNAVINST 11010.20 (current). General responsibility for accomplishment of the Navy-wide Pollution Abatement Program has been assigned to NAVFAC. Therefore, pollution abatement projects are submitted to NAVFAC via the EFD for funding.

(2) Dredging requirements at base complexes should be consolidated for project accomplishment purposes to the maximum extent feasible. The responsibility for determining requirements, programming, budgeting, and funding are assigned to specific shore activities and their major claimants as detailed in OPNAVINST 11010.20. Dredging projects always require a Candidate Environmental Impact Statement (Refer to Chapter 12).

4. Restricted Projects. The following types of restricted projects require sanction by NAVFAC, CNO, SECNAV, or SECDEF prior to funding. When project scope involves such work, it should be in accordance with applicable regulations; and the projects clearly identified so that designated approval authorities may take appropriate action. Projects which require ASN (I&L) or ASD (I&L) are prepared on DD Form 1391 in accordance with instructions of OPNAVINST 11010.20 (current).

a. Storage and Warehousing Facilities. Storage and warehousing facilities, regardless of area involved, are subject to procedures specified in paragraph 27015 of NAVSUPSYSCOM Manual and NAVSUPINST

b. Air Conditioning. Projects to provide air conditioning, evaporative cooling, dehumidification, and mechanical ventilation must conform to the requirements of OPNAVINST 11010.20 (current). The "Facilities Projects Manual" promulgated DOD policy on all projects that involve the installation of air conditioning, evaporative cooling, dehumidifying, and/or mechanical ventilating equipment in (a) new construction and existing structures at naval shore activities and (b) all such projects accomplished by either appropriated or nonappropriated funds when part or all of the equipment maintenance and operating costs are financed from appropriate funds.

c. Religious, Welfare, and Recreational Facilities. The Secretary of Defense has established space criteria governing the provisions of religious, welfare, and recreational facilities (DOD Construction Criteria Manual 4270.1-M, current issue). These criteria are included in NAVFAC P-80, Facility Planning Factors for Naval Shore Activities. Proposals for projects for facilties not covered must receive prior approval from the Assistant Secretary of the Navy (I&L).

d. Projects Affecting the International Balance of Payments. In certain overseas areas, projects that affect the International Balance of Payments must receive prior approval of the Assistant Secretary of Defense (I&L).

e. Site Approvals for Ammunition Facilities. The Office of the Assistant Secretary of Defense (I&L) has directed that additonal procedures be instituted to insure maximum safety in siting facilities where an explosive hazard is involved. Accordingly, all projects involving facilities which may involve or constitute an explosion hazard must have site locations approved and certified. NAVFACINST 8020.2 (current series) outlines procedures for certifying and obtaining site approvals. This instruction provides (1) general requirements and responsibilities for review and approval of facility sitings; (2) procedures establsihed by OASD (I&L) for obtaining site approvals from Department of Defense Explosives Safety Board (DODESB); (3) procedures for submitting data to NAVFACENGCOM for use in obtaining site approvals; and (4) procedures for certifying that site approvals have been obtained, when required.

f. Fluoridation of Water Supply. All projects involving fluoridation of water supply systems must be approved by the Bureau of Medicine and Surgery. BUMEDINST 11330.1 (current issue) outlines procedures for obtaining approvals.

5. Special Project Summary List. The Summary List is a listing of currently required Step One and Step Two unfunded special projects which is submitted annually by the activity. For all projects other than pollution abatement, separate lists are prepared by the shore activity for (a) minor construction/alteration, (b) maintenance and repair and (c) equipment installation. For pollution abatement projects, in lieu of Summary Lists, the appropriate OMB Pollution Control Report is used to identify requirements for the ensuing fiscal year. The Summary List are prepared on form NAVFAC 11014/66.

6. PWO and Special Projects. The special projects program is another source of resources to tap for

understand if he is to benefit from resources available in the special projects program. Additioanlly, a thorough knowledge of the "Facilities Projects Manual" will go a long way in insuring the PWO abides by the many rules and requirements in the facility projects arena.

5.1.5 Military Construction Program. (Reference OPNAVINST 11010.20 current). The Military Construction Program evolves from the Shore Facilities Installation Planning and Programming System (see Chapter 4). After construction needs have been identified, the activity submits projects under the program for inclusion in the Military Construction Program Objectives (MCON PO) which identify construction requirements supporting the Navy portion of the Five Year Defense Program. The MCON Program, by its nature and relatively high cost is of necessity a "long lead time" procurement process, wherein it tkes 5 to 8 years to acquire new facilities. It is not surprising that command is sometimes hesitant to use this path, since the results will be enjoyed by his relief's relief.

5.1.6 Emergency Projects. By law, no new construction or expansion of existing structures can be undertaken without the specific authorization and appropriation of funds by Congress. Every year, unforeseen and unbudgeted construction requirements arise which are of such urgency that they must be provided for immediately and cannot wait for the submission of a regular military construction bill to Congress. Congress has recognized this situation and has provided a special authorization to care for it. The occasions for which special consideration is required and the means by which it is accomplished are as follows:

A. Minor Construction, ($500,000 or Less). No matter how carefully the annual Military Construction Program is prepared and screened, there are always some construction items which are unforeseen or which become urgent after the annual program is submitted to Congress. Appreciating the problem that is created by the lack of specific authorization for construction, Congress has granted special authorization through permanent legislation for the construction of urgenly required projects, the cost of which does not exceed $500,000. Under this legislation, projects costing between $50,000 and $500,000, if determined to be urgent, may be executed with Military Construction funds. Approvals of such projects varies with the funded cost of the construction, and classified as Exigent Minor MILCON projects and as illustrated in Figure 5-1. Projects which qualify as Exigent Minor MILCON projects must pass specific test regarding the urgency of the project, and the need to complete the work sooner than is possible through the MILCON process. The rules which define legitimate application of the Exigent Minor MILCON authority are defined in the OPNAVINST 11010.20.

B. Restoration of Damaged Facilities. Under the authority of 10 USC 2673, continuing authorization exists for the use of MCON funds for the replacement of facilities damaged by fire, explosion, storm, or other catastrophic events. In general, this authority is uitilized only when facilities have been damaged to the extent that the cost to repair would exceed 50 percent of the replacement value. Damage which can be repaired for less than 50 percent of the replacement value is funded from funds available for O&M in the same manner as for any other maintenance or repair projects, in accordance with OPNAVINST 11010.20 above.

Military construction funds are not made available in the Defense Appropriation Act to finance restoration of damaged facilities projects. Thus, in the event of serious damage it is necessary to reprogram funds from other funded projects or to insert the project in a particular year's MCON appropriation bill in lieu of projects which have been denied authorization that year. Reprogramming, or the special request to insert the project in the appropriation bill requires the approval of the Secretary of Defense prior to submission to the Appropriation Committees of Congress.

C. Emergency Construction. Each annual Military Construction Authorization law includes a Section 202 which authorizes the Secretaries of the Services to acquire or construct facilities required by certain new developments. Section 202 provides for a specific amount of authorization each year. In recent years this has been $10 million. The authorization expires within a set period usually on 30 September following the end of the fiscal year of the Military Construction Authorization Act. The wording of this section is most significant and is repeated, in part, as follows:

"The Secretary of the Navy may establish or develop Navy installations and facilities by proceeding with construction made necessary by changes in Navy missions and responsibilities which have been occasioned by:

1. unforeseen security considerations;
2. new weapons development;
3. new and unforeseen research and development requirements; or
4. improved production schedules.

Revision in the task or functions assigned to a military installation, or facility or for environment considerations if the Secretary of Defense determines that the deferral of such construction for inclusion in the next Military Construction Authorization Act would be inconsistent with the interest of national security.

It is the specific intent of the Congressional Committees to make it most difficult to use this authority. Consequently, it is necessary for the Navy to specifically cite the subsection of Section 202, under which each emergency project is submitted to OSD for approval. The OSD position is that change in mission can be justified only when the change is unexpected and unforeseen and, therefore, dictated by circumstances outside the control of the Department of Defense.

Funds are not specifically appropriated for emergency projects. It is, therefore, necessary to obtain funding approval for each project by a reprogramming action. The funds are normally made available either by deferring other appropriations when available, or by reprogramming savings within the Military Construction Appropriation if available. The reprogramming action, in essence, is a request to the Appropriations Committees to permit funds originally appropriated for one purpose to be used for different purpose. Actually, reprogramming actions are lengthly and require sound justification when presented to the Congress. In general, however, when the project is deferred during a reprogramming action, the Appropriation Committees frown upon the resubmission of the project for later funding in a

regular program submission. As a result, deferred projects are usually cancelled. Funds available for reprogramming for emergency projects or for restoration of damaged facilities projects are extremely limited. Transfers between appropriations are highly unusual, and in recent years there have been no savings, as such, available in the MCON Program for reprogramming. The only funds that become available are those resulting from cancelled projects or from scope reductions.

D. Submission Procedures for Emergency Projects. Projects are prepared on DD Form 1391. The DD Form 1391 should be accompanied by a detailed cost estimate on NAVDOCKS Form 11013/7 as well as appropriate photographs, charts, and maps necessary to enable reviewing officials to understand the nature and scope of the project. The submission requirements include a facility study with detail backup information. An Environmental Impact Assessment should be prepared and sumbitted and, depending on the results of the assessment, an Environmental Impact Statement may need to be completed and submitted with the project.

Projects that are submitted as "self-amortizing" projects must be accompanied by a primary economic analysis, as defined in NAVFAC P-442, Economic Analysis Handbook.

5.1.7 Non-Appropriated Fund Projects. It is the policy of the Department of the Navy to provide, maintain, and operate adequate facilities to accommodate a well-rounded morale, welfare, and recreational program to ensure the mental and physical well-being of Navy, Marine Corps Military and civilian personnel. In consonance with this policy, adequate spaces, facilities, and structures should be provided through appropriated funds. It is a basic responsibility of installation Commanding Officers and command support agencies to ensure that proper recognition is given to morale, welfare, and recreational facilities in the development of military construction programs. Non-appropriated funds should be used primarily for the refurbishment and internal upkeep of the facilities and equipment, and the support of command and centralized welfare and recreational programs. Non-appropriated funds are inadequate to finance the huge deficit of needed morale, welfare and recreational facilities throughout the Naval establishment. It is recognized, however, that these projects must compete with facilities having a direct bearing on combat readiness and at times, for all practical purposes, the only readily available means of obtaining badly needed facilities within a reasonable time frame is through non-appropriated funds support. Therefore, some expenditure of non-appropriated funds for the most critical deficiencies are usually available. Depending upon the nature of the facilities, financing of alteration and construction of recreational facilities may be derived from: (1) Local activity command or BUPERS Central Recreational Funds, (2) local or BUPERS Commissioned Officers' Mess Funds, (3) Navy Retail System Office or Petty funds, (4) Commissary Store Reserve Funds, (5) Navy Exchange Enlisted Men's Clubs Retained Earnings, (6) Navy Exchange, Navy Lodge Retailed Earnings and (7) Special Funds.

PART I - SUBMISSION

1 FROM (Activity name and location)
NAVAL STATION, DEEPWATER, OREGON

2 ACTIVITY NO
07213

3 TO
MAJOR CLAIMANT

4 PROJECT NO
R2-77

TITLE
REPAIRS TO SOUTH BULKHEAD

5 TYPE
a [X] MAINT /REPAIR b [ ] MINOR CONSTRUCTION/ ALTERATION c [ ] AIR CONDITIONING d [ ] EQUIPMENT INSTALLATION

6 DESCRIPTION AND FUNCTION OF FACILITY

The south bulkhead is a steel sheetpile retaining wall extending south eastward from the deep draft Pier B-1 to destroyer Pier D-1. This facility consists of 850 lineal feet of berthing along the wall with a finger pier and 5 mooring dolphins. The finger pier and dolphins, shallow draft berthings A-1 and A-2 are used to moor small ships of the ATA and ATF classification. Up to ten barges are normally moored (Continued)

a PROPERTY RECORD CARD NO
2-00062

b NAVY CATEGORY CODE
154-10

c BLDG OR STRUCTURE NO.
41A

7 THE REQUIREMENT FOR THE FACILITY IS BASED ON
a [ ] A CHANGE IN MISSION b [X] FULL TIME CONTINUING NEED c [ ] 2 TO 5 YEAR NEED d [ ] LESS THAN 2 YEARS NEED e [ ] CURRENTLY REQUIRED LESS THAN 50% OF TIME f. [ ] RESERVED FOR FUTURE REQUIREMENTS

8 ESTIMATED PROJECT COST
$ 180,000

9 ESTIMATED PLANNING COST
$ 20,000

10 DESCRIPTION OF CONDITION TO BE CORRECTED, OR PROBLEM TO BE SOLVED WITH PROPOSED SOLUTION (Attach additional descriptive information if necessary. Use a plain sheet.)

During the last five years there has been a rapid deterioration of the south bulkhead. As of this date over 300 l.f. of fender system has been demolished exposing bare sheet pile to corrosive pounding action by the barges; 250 l.f. of the steel tie back severely warped or missing; approximately 75 l.f. of the concrete cap has been broken allowing the top of the sheet pile to deflect laterally up to 12 inches. This lateral movement indicates failure of tie back system in this area. The two lane road behind the bulkhead is subsiding, with a maximum settlement, .07 of a foot during the last two months. Repairs to the bulkhead will include extensive excavation to repair 40% of the tie back rods to the steel waler, replacement of the entire steel channel waler, repairs to 400 l.f. of the concrete cap and replacement of the entire fender system.

*11 CAN PROJECT BE FUNDED IN PHASES? How? How many?

[ ] YES [X] NO

12 SIGNATURE OF OFFICIAL WHO CAN CERTIFY THAT THE DATA PROVIDED IS VALID	TITLE	DATE
U. K. ALL	PUBLIC WORKS OFFICER	23 NOV 1977

PART II – MAJOR CLAIMANT ACTION

1 FROM (Major Claimant)

2 TO (Activity name and location)

3 ACTION TO BE TAKEN

a [ ] APPROVED FOR SECOND STEP SUBMISSION AND CONSIDERATION FOR FUNDING IN FY _____ OR FY _____

b [ ] DEFERRED PENDING FURTHER STUDY RECOMMEND UPDATE AND RESUBMISSION IN _____ MONTHS

c [ ] OTHER _____

SIGNATURE OF APPROVING OFFICIAL	TITLE	DATE

*NOT applicable to Minor Construction, Alterations, or Equipment Installation

CONTINUATION SHEET:

Block No. 6 - along the easterly and westerly extremities of the wall. This bulkhead supports the only roadway to mooring A-1 and A-2 and the fuel oil distribution lines to the destroyer piers are buried underground contiguous to the bulkhead.

FIGURE 5-2
SPECIAL PROJECT REQUEST FORM (INTERIM), NAVFAC 11014/64A

SPECIAL PROJECT REQUEST
NAVFAC 1101/464 (REV 5-74)
Supersedes NAVFAC 9-1101/4/4 (11-AR)

STEP TWO SUBMISSION

1. ACTIVITY SNDL NO	ACTIVITY NAME AND LOCATION	DATE SUBMITTED
2506-600	NAVAL STATION, DEEPWATER, OREGON	27 DEC 1977

2. PROJECT NO	TITLE
R2-77	REPAIR TO SOUTH BULKHEAD

3. TYPE
a. [X] MAINT /REPAIR b. [ ] MINOR CONSTRUCTION/ ALTERATION c. [ ] AIR CONDITIONING [ ] EQUIPMENT INSTALLATION

4. DESCRIBE SHORE ESTABLISHMENT OR FACILITY

The south bulkhead is a steel sheetpile retaining wall extending south eastward from the deep draft Pier B-1 to destroyer Pier D-1. This facility consists of 850 lineal feet of berthing along the wall with a finger pier and 5 mooring dolphins. The finger pier and dolphins, shallow draft berthings A-1 and A-2, are used to moor small ships of the ATA and ATF classification. Up to ten barges are (Continued)

5. PROPERTY RECORD CARD NO.	6. NAVY CATEGORY CODE	7. BLDG. OR STRUCTURE NO.
2-0062	154-10	41A

8. WHAT IS THE EFFECT OF THIS PROJECT ON THE MISSION OF THE ACTIVITY?

Failure to make necessary repair promptly may result in loss of barge mooring facilities; elimination of access to shallow draft berths A-1 and A-2 and failure of one of two vehicular routes to the deep draft "Bravo" Pier and the carrier piers. This road route to these piers. nould major failure occur, loss or damage to the Administration Building and the P. O. Club could be expected.

9. THE REQUIREMENT FOR THE FACILITY IS BASED ON
a. [ ] A CHANGE IN MISSION b. [X] FULL TIME CONTINUING NEED c. [ ] 2 TO 6 YEAR NEED d. [ ] LESS THAN 3 YEARS' NEED e. [ ] CURRENTLY REQUIRED LESS THAN 50% OF TIME f. [ ] RESERVED FOR FUTURE REQUIREMENTS

10. EST. FUNDS COST	b. EST. PROJECT COST	c. EST. PLANNING COST	d. TOTAL FUNDS REQUESTED	e. EST. FACIL. REPL. COST
$ 180,000	$ 180,000	$ 20,000	$ 200,000	$ 484,112

11. DATE FACILITY CONSTRUCTED	12. IS FACILITY ON AN APPROVED BASIC FACILITY REQUIREMENTS LIST? If "NO" have was need determined?
1942	[X] YES [ ] NO

13. IS PROJECT LISTED ON ANNUAL INSPECTION SUMMARY? If answer is "NO" and AIS is applicable, explain on below.
[X] YES [ ] NO [ ] N A

14. DESCRIBE CONDITION TO BE CORRECTED. OR PROBLEM TO BE SOLVED WITH PROPOSED SOLUTION. Attach additional description if necessary. USE PAGE (IN) 1.

During the last five years there has been a rapid deterioration of the south bulkhead. As of this date over 300 l.f. of fender system has been demolished exposing bare sheet pile to erosive pounding action by the barges, 250 l.f. of the steel tie back severely warped or missing, approximately 75 l.f. of the concrete cap has been broken allowing the top of the sheet pile to deflect laterally up to 12 inches. This lateral movement indicates failure of tie back system in this area. The two lane road behind the bulkhead is subsiding, with a maximum settlement, .07 of a foot during the last two months. Repairs (continued)

17. WHY IS THE PROPOSED SOLUTION BEST - AND WHAT ALTERNATIVES WERE CONSIDERED?

The proposed solution is the cheapest repair that can be accomplished to prevent further damage to this facility until the new shallow draft berthing is constructed to replace the entire bulkhead. There is no alternative since the facility cannot be abandoned. Continued deferment of MCON Project P-303 (continued)

18. WERE ANY NON-NAVY EXPERTS INVITED TO REVIEW THIS PROBLEM AND THIS SOLUTION? Explain effect on solution.

a. [ ] YES b. [X] NO

19. HAS EFD DESIGN DIVISION REVIEWED SOLUTION?	20. CAN ANOTHER FACILITY BE ECONOMICALLY ADAPTED FOR THIS FUNCTION?
a. [ ] YES b. [X] NO	a. [ ] YES b. [X] NO

21. CAN PROJECT BE FUNDED IN PHASES? How? How many?
a. [ ] YES b. [X] NO

22. THIS PROJECT IS THE RESULT OF
a. [X] INADEQUATE MAINTENANCE b. [X] FACILITY AGE c. [ ] DEFICIENT CONSTR d. [ ] DEFICIENT DESIGN e. [ ] OTHER _____

23. HAS THIS SPECIFIC PROBLEM BEEN CORRECTED PREVIOUSLY?
a. [X] YES b. [ ] NO When? Repaired by Contract 1965 HOW LONG WILL PROPOSED CORRECTIVE ACTION LAST? 5-6 YEARS

19. ARE COMPONENTS BEING INCREASED IN SIZE OR CAPACITY? *Explain the difference, including cost.*

a. [ ] YES b. [X] NO

20. ARE MATERIALS PROPOSED FOR USE THE SAME AS THOSE EXISTING? *If "NO," explain the difference, including cost.*

a. [X] YES b. [ ] NO

21. PROJECT IS PLANNED TO BE ACCOMPLISHED BY

a. [ ] STATION LABOR b. [X] CONTRACT

22. HAS A PROJECT EVER BEEN SUBMITTED FOR THE REPLACEMENT OF THIS OR SIMILAR FACILITIES? *Check and explain if "YES."*

a. [X] YES b. [ ] NO *When?* Milcon Project P333 Shallow Draft Berthing

23. ANTICIPATED SAVINGS IF PROJECT IS DONE THIS YEAR AS COMPARED TO A DEFERRAL OF ONE YEAR.

PROBABLE INCREASE IN PROJECT COST FOR ANY JUSTIFIABLE REASON	REDUCTION IN CURRENT MAINT. COST	REDUCTION IN CURRENT OPERATIONS COST
$ 750,000	$ None	$ None

JUSTIFY ANY SAVINGS INDICATED

Unless prompt action is taken, complete loss of facility including adjacent facilities can be anticipated

WHAT IS PAY BACK PERIOD OF PROJECT? *(In years)*

WILL ACCOMPLISHMENT GENERATE REQUIREMENTS FOR ADDITIONAL M&O FUNDS OR PERSONNEL? a. [X] NO b. [ ] YES *Est. Amt.*

24. WHAT WOULD BE THE EFFECT OF DEFERRING THE PROJECT ONE YEAR?

Continued Deterioration with possible loss of facility during the next year.

*25. IF THE PROJECT IS NOT ACCOMPLISHED NOW, IN HOW MANY YEARS WILL THERE BE SERIOUS DAMAGE TO THE FACILITY AND/OR ITS CONTENTS OR IMPAIRMENT TO ESSENTIAL OPERATIONS? *Explain. (In built-loss refer to fire/dry and/or controls.*

YEARS BEFORE SERIOUS DAMAGE OCCURS 1 Serious damage already exists, possible loss of facility in one year

*26. HAS THE REDUCED UTILIZATION OF THIS SPECIFIC FACILITY AFFECTED A LARGE FACILITY SYSTEM OPERATION? *Explain.*

a. [ ] YES b. [X] NO BY HOW MUCH? However, delay in accomplishing repairs will result in loss of berthing facilities and may cause loss of fuel and oil lines to destroyers.

27. ARE THERE ANY OTHER FACTORS INVOLVED? *Check and explain.*

a. [ ] MORALE b. [ ] HEALTH c. [ ] PUBLIC RELATIONS d. [X] SAFETY e. [ ] FIRE PROTECTION f. [ ] SECURITY g. [ ] OTHER

Lateral movement of sheet pile may cause collapse of the bulkhead and cave-in of adjacent roadway.

28 CERTIFICATION BY RESPONSIBLE OFFICER AT ACTIVITY. I am personally cognizant of the need for, the essentiality of, and the proposed method of accomplishment of this project and certify that the above information is correct, and that this project meets all criteria specified in OPNAVINST 11010.20 and subsequent changes thereto.

SIGNATURE	TITLE	DATE
U. K. ALL	PUBLIC WORKS OFFICER	27 DEC 77

29. EFD TECHNICAL VALIDATION *(if required) (see para 7303, OPNAVINST 11010.20C)*

SIGNATURE	TITLE	DATE

ENCLOSURES

a. [X] ENGINEERING EST. *(NAVFAC 2417)* b. [X] LOCATION PLAN(S) c. [ ] DRAWINGS d. [X] PHOTOGRAPHS

**NOT applicable to Minor Construction, Alterations, or Equipment Installation*

COST ESTIMATING FORM
NAVDOCKS 2617 (REV. 5-63)
S/N 0105-LF-013-3800

SHEET 1 OF 1

IDENTIFICATION NUMBER: R2-77

AREA OR NO	ACTIVITY	LOCATION	CATEGORY CODE NUMBER
13ND	Naval Station	Deepwater, Oregon	154-10

PROJECT (Or line item) TITLE

Repair to South Bulkhead

ITEM (OR FEATURE) DESCRIPTION (Abbreviate if necessary)	QUANTITIES		MATERIAL COSTS		LABOR COSTS		ENGINEERING ESTIMATE	
	NO. OF UNITS	UNIT	UNIT COST	COST	UNIT COST	COST	UNIT COST	COST
1	2	3	4	5	6	7	8	9
1. Excavate wet soil	6.8	MCY	182	12,387	140.	9,500	322.	21,907
2. Drive and remove Sheetpile Shoring	13.8	MSF	70	9,660	378.	52,164	448.	61,824
3. Repair Tie backs		LS		1,610		8,260		9,870
4. Repair channel waler		LS		1,729		4,900		6,629
5. Repair Concrete Cap	37	CY	39.20	1,450	33.60	1,243	72.80	2,694
6. Fill and compact	6.8	MCY	112.	7,616	217.	14,756	329.	22,372
7. Repave	1340	SY	.91	1,219	1.54	2,063	2.45	3,283
8. Repair Fender System	930	LF	23.10	21,483	30.80	28,644	53.90	50,127
								178,705
Planning cost		LS						20,000

PREPARED BY (Name)	APPROVED BY	TITLE OR ORGANIZATION	DATE
Y. FIGURE	C. B. HORNER	Mgr. Engineering Branch Public Works Dept.	20 DEC 77

CONTINUATION SHEET:

Block No. 4 - normally moored along the easterly and westerly extremities of the wall. This bulkhead supports the only roadway to mooring A-1 and A-2 and the fuel oil distribution lines to the destroyer Piers are buried underground contiguous to the bulkhead.

Block No. 11 - to the bulkhead will include extensive excavation to repair 40% of the tie back rods including some deadmen, securing the tie back rods to the steel waler, replacement of the entire steel channel waler, repairs to 400 l.f. of the concrete cap and replacement of the entire fender system.

Block No. 12 - (2nd Increment) Shallow Draft Berthing has necessitated repair of the existing bulkhead and fender system to preclude loss of the entire bulkhead and adjacent facilities.

SPECIAL PROJECT REQUEST (INTERIM)
NAVFAC 11014/66A (8-74)

STEP ONE SUBMISSION

PART I - SUBMISSION

1. FROM (Activity, name and location)
NAVAL AIR STATION, OUTWEST, ARIZONA

2. ACTIVITY NO
36021

3. TO
MAJOR CLAIMANT

4. PROJECT NO
C3-78

TITLE
CONSTRUCT CLEAR ZONE AT AUW COMPLEX

5. TYPE
a. [ ] MAINT/REPAIR b. [X] MINOR CONSTRUCTION/ ALTERATION c. [ ] AIR CONDITIONING d. [ ] EQUIPMENT INSTALLATION

6. DESCRIPTION AND FUNCTION OF FACILITY
The AUW Complex consisting of the Special Weapons Shop (Bldg. A-950), Special Weapons Magazine (Bldg. A-950), Inert Storehouse (Bldg. A-951), Inert Storehouse (Bldg. A-1108), Sentray House (Bldg. A-952), earth barricades, perimeter fence, and auxiliary facilities is used in the storage and handling a AUW special weapons. All structures are wood frame, semi-permanent construction.

6. PROPERTY RECORD CARD NO
N/A

b. NAVY CATEGORY CODE
872-20

c. BLDG. OR STRUCTURE NO.
N/A

7. THE REQUIREMENT FOR THE FACILITY IS BASED ON
a. [ ] A CHANGE IN MISSION b. [X] FULL TIME CONTINUING NEED c. [ ] 2 TO 5 YEAR NEED d. [ ] LESS THAN 2 YEARS' NEED e. [ ] CURRENTLY REQUIRED LESS THAN 50% OF TIME f. [ ] RESERVED FOR FUTURE REQUIREMENTS

8. ESTIMATED PROJECT COST
$ 22,500

9. ESTIMATED PLANNING COST
$ 1,000

10. DESCRIPTION OF CONDITION TO BE CORRECTED OR PROBLEM TO BE SOLVED WITH PROPOSED SOLUTION (Use additional description if necessary. Use Block 19.)

The present clear zone surrounding the fenced area of the AUW complex does not meet the minimum requirements of OPNAVINST 05510.83B. To meet these requirements, it is proposed to construct a 30 foot wide clear zone immediately external to the perimeter fence and completely surrounding the AUX complex.

*11. CAN PROJECT BE FUNDED IN PHASES? How? How many?
[ ] YES [X] NO

12. SIGNATURE OF OFFICIAL WHO CAN CERTIFY THAT THE DATA PROVIDED IS VALID	TITLE	DATE
E. SHARPIE	PUBLIC WORKS OFFICER	30 JULY 1978

PART II - MAJOR CLAIMANT ACTION

1. FROM (Major claimant)

2. TO (Activity, name and location)

3. ACTION TO BE TAKEN

a. [ ] APPROVED FOR SECOND STEP SUBMISSION AND CONSIDERATION FOR FUNDING IN FY_____ OR FY _____

b. [ ] DEFERRED PENDING FURTHER STUDY RECOMMEND UPDATE AND RESUBMISSION IN _____ MONTHS.

c. [ ] OTHER _____

SIGNATURE OF APPROVING OFFICIAL	TITLE	DATE

*NOT applicable to Minor Construction, Alterations, or Equipment Installation

SPECIAL PROJECT REQUEST
NAVFAC 11014/64 (REV. 8-74)
Supersedes NAVFAC 11014/64 (11-68)

STEP TWO SUBMISSION

1. ACTIVITY SHOR. NO.	ACTIVITY NAME AND LOCATION	DATE SUBMITTED
6300-201	NAVAL AIR STATION, OUTWEST, ARIZONA	2 Sep 1978

2. PROJECT NO.: C3-78 — TITLE:

3. TYPE
a. [ ] MAINT /REPAIR b. [X] MINOR CONSTRUCTION/ ALTERATION c. [ ] AIR CONDITIONING [ ] EQUIPMENT INSTALLATION

4. DESCRIBE AND STATE FUNCTION OF FACILITY

The AUW Complex consisting of the Special Weapons Shop (Bldg. A-950), Special Weapons Magazine (Bldg. A-951), Inert Storehouse (Bldg. A-951), Inert Storehouse (Bldg. A-ll08), Sentray House (Bldg. A-952), earth barricades, perimeter fence, and auxiliary facilities is used in the storage and handling of AUW special weapons. All structures are wood frame, semi-permanent construction.

4. PROPERTY RECORD CARD NO.: N/A
5. NAVY CATEGORY CODE: 872-20
6. BLDG. OR STRUCTURE NO.: N/A

5. WHAT IS THE EFFECT OF THIS PROJECT ON THE MISSION OF THE ACTIVITY?

This project is essential to meeting security criteria applicable to the AUW special weapon storage and handling functions of this command, which functions are a part of the assigned mission of NAS, Out West.

6. THE REQUIREMENT FOR THE FACILITY IS BASED ON
a. [ ] A CHANGE IN MISSION b. [X] FULL TIME CONTINUING NEED c. [ ] 2 TO 5 YEAR NEED d. [ ] LESS THAN 2 YEARS' NEED e. [ ] CURRENTLY REQUIRED FOR ONLY LEN. OF TIME f. [ ] RESERVED FOR FUTURE REQUIREMENTS

7a. EST. FUNDED COST	b. EST. PROJECT COST	c. EST. PLANNING COST	d. TOTAL FUNDS REQUESTED	e. EST. FACIL. REPL. COST
$ 22,500	$ 24,500	$ 2,000	$ 24,500	$ 817,000

8. DATE FACILITY CONSTRUCTED: 1960

8. IS FACILITY ON AN APPROVED BASIC FACILITY REQUIREMENTS LIST? *If "NO," how was need determined?*
[X] YES [ ] NO

10. IS PROJECT LISTED ON ANNUAL INSPECTION SUMMARY? *If answer is "NO," and A/E is applicable, explain exclusion.*
[ ] YES [X] NO [X] N.A.

11. DESCRIBE CONDITION TO BE CORRECTED, OR PROBLEM TO BE SOLVED WITH PROPOSED SOLUTION. *Attach additional description if necessary. USE FACIL ITIES.*

The present clear zone surrounding the fenced area of the AUW complex does not meet the minimum requirements of OPNAVINST 05510.83B. To meet these requirements, it is proposed to construct a 30 foot wide clear zone immediately external to the perimeter fence and completely surrounding the AUX complex.

12. WHY IS THE PROPOSED SOLUTION BEST - AND WHAT ALTERNATIVES WERE CONSIDERED?

There is no alternate method by which the deficiency can be corrected.

13. WERE ANY NON-NAVY EXPERTS INVITED TO REVIEW THIS PROBLEM AND THIS SOLUTION? *Explain effect on solution.*

a. [ ] YES b. [X] NO

14. HAS EFD DESIGN DIVISION REVIEWED SOLUTION? a. [X] YES b. [ ] NO

15. CAN ANOTHER FACILITY BE ECONOMICALLY ADAPTED FOR THIS FUNCTION? a. [ ] YES b. [X] NO

16. CAN PROJECT BE FUNDED IN PHASES? How? How many?
a. [ ] YES b. [ ] NO
N/A

17. THIS PROJECT IS THE RESULT OF
a. [ ] INADEQUATE MAINTENANCE b. [ ] FACILITY AGE c. [ ] DEFICIENT CONSTR. d. [ ] DEFICIENT DESIGN e. [ ] OTHER: _____
N/A

18. HAS THIS SPECIFIC PROBLEM BEEN CORRECTED PREVIOUSLY?
a. [ ] YES b. [ ] NO *When?* N/A

HOW LONG WILL PROPOSED CORRECTIVE ACTION LAST? _____ YEARS

FIGURE 5-5
SPECIAL PROJECT REQUEST FORM, NAVFAC 11014/64

19. ARE COMPONENTS BEING INCREASED IN SIZE OR CAPACITY? *If yes, explain the difference, including cost.*

a. [X] YES b. [ ] NO

The clear zone is being increased from approximately 10 feet wide to a minimum width of 30 feet.

20. ARE MATERIALS PROPOSED FOR USE THE SAME AS THOSE EXISTING? *If "NO," explain the difference, including cost.*

a. [X] YES b. [ ] NO

21. PROJECT IS PLANNED TO BE ACCOMPLISHED BY

a. [ ] STATION LABOR b. [X] CONTRACT

22. HAS A PROJECT EVER BEEN SUBMITTED FOR THE REPLACEMENT OF THIS OR SIMILAR FACILITIES? *If yes, explain in detail.*

construction

a. [X] YES b. [ ] NO *When?* This project supersedes the portion of MILCON Project P-123 which pertains to the clear zone.

23. ANTICIPATED SAVINGS IF PROJECT IS DONE THIS YEAR AS COMPARED TO A DEFERRAL OF ONE YEAR.

PROBABLE INCREASE IN PROJECT COST FOR ANY JUSTIFIABLE REASON	REDUCTION IN CURRENT MAINT. COST	REDUCTION IN CURRENT OPERATIONS COST	WHAT IS PAY BACK PERIOD OR PROJECT? *(In years)*
$ 2,300	$ None	$ None	N/A

JUSTIFY ANY SAVINGS INDICATED

Construction costs increase approximately 10% per year in this area

WILL ACCOMPLISHMENT GENERATE REQUIREMENTS FOR ADDITIONAL M&O FUNDS OR PERSONNEL? a. [X] NO b. [ ] YES *Est. Amt.*

24. WHAT WOULD BE THE EFFECT OF DEFERRING THE PROJECT ONE YEAR?

Failure to provide this vital project will require a continuing waiver and could compromise the security of this facility.

*25. IF THE PROJECT IS NOT ACCOMPLISHED NOW, IN HOW MANY YEARS WILL THERE BE SERIOUS DAMAGE TO THIS FACILITY AND/OR ITS CONTENTS OR IMPAIRMENT TO ESSENTIAL OPERATIONS? *Explain, include basis used to justify and/or confirm.*

YEARS BEFORE SERIOUS DAMAGE OCCURS _____ N/A

*26. HAS THE REDUCED UTILIZATION OF THIS SPECIFIC FACILITY AFFECTED A LARGE FACILITY SYSTEM OPERATION? *Explain.*

a. [ ] YES b. [ ] NO BY HOW MUCH? _____% N/A

27. ARE THERE ANY OTHER FACTORS INVOLVED? *Check and explain.*

a. [ ] MORALE b. [ ] HEALTH c. [ ] PUBLIC RELATIONS d. [X] SAFETY e. [ ] FIRE PROTECTION f. [ ] SECURITY g. [ ] OTHER

Clear zone satisfies safety criteria for area as required by OPNAVINST 05510.83B.

28 CERTIFICATION BY RESPONSIBLE OFFICER AT ACTIVITY I am personally cognizant of the need for, the essentiality of, and the proposed method of accomplishment of this project and certify that the above information is correct, and that this project meets all criteria specified in OPNAVINST 11010.20 and subsequent changes thereto

SIGNATURE	TITLE	DATE
E. SHARPIE	PUBLIC WORKS OFFICER	2 Sep 1978

29. E/O TECHNICAL VALIDATION *(if required) (see para 7.10.3, OPNAVINST 11010.20C)*

SIGNATURE	TITLE	DATE

ENCLOSURES

a. [X] ENGINEERING EST. *(NAVFAC 2417)* b. [X] LOCATION PLAN(S) c. [ ] DRAWINGS d. [X] PHOTOGRAPHS

**NOT applicable to Minor Construction, Alterations, or Equipment Installation*

CHAPTER 6
MAINTENANCE MANAGEMENT

Much of today's Navy shore establishment was built during or before World War II utilizing temporary or "semi-permanent" construction methods and with no real thought given to their maintenance and operation. Today, thirty-five years later, the Public Works Officer is faced with the task of maintaining these deteriorating facilities with very limited resources. The challenge for the maintenance manager lies first in making sound decisions on which maintenance requirements should receive attention and which should be deferred; and second, in maximizing the productivity of his resources in accomplishing work. The system described herein can assist in accomplishing this by formalizing maintenance management into a series of standard operating procedures.

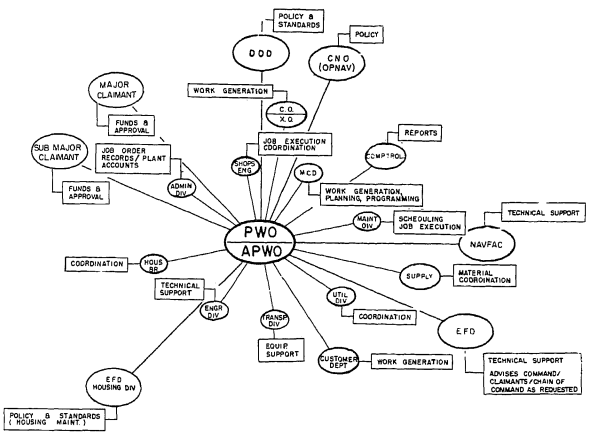

FIGURE 6-1
THE PLAYERS IN MAINTENANCE MANAGEMENT

COST ESTIMATING FORM
NAVDOCKS 2417 (REV. 5-65)
S/N 0105-LF-013-3800

SHEET 1 OF 1

IDENTIFICATION NUMBER
C3-78

AREA OR NO	ACTIVITY	LOCATION	CATEGORY CODE NUMBER
10ND	NAVAL AIR STATION	OUTWEST, ARIZONA	872 - 20

PROJECT (Or line item) TITLE

CONSTRUCT CLEAR ZONE AT AUW COMPLEX

ITEM (OR FEATURE) DESCRIPTION (Abbreviate if necessary)	QUANTITIES		MATERIAL COSTS		LABOR COSTS		ENGINEERING ESTIMATE	
	NO. OF UNITS	UNIT	UNIT COST	COST	UNIT COST	COST	UNIT COST	COST
1	2	3	4	5	6	7	8	9
1. MOBILIZATION								1,000
2. FILL 5000 CY x 1.5 (Shrinkage)	7,500	CY	1.90	14,250	.50	3,750	2.40	18,000
3. ROLL & GRADE	7,000	SY	.15	1,050	.15	1,050	.30	2,100
4. EXTEND 3-12" RCP STORM SEWERS	83	LF	3.00	249	2.50	208	5.50	457
5. EXTEND 1-15" RCP STORM SEWERS	30	LF	4.00	120	3.00	90	7.00	210
6. CONC HEAD (4)	4	CY	60.00	240	40.00	160	100.00	400
7. EXT 3" ACID DRAIN	1	JOB						100
8. CLEANUP	1	JOB						200
								22,467
							SAY	$22,500
PLANNING CO.								$2,000

PREPARED BY (Name)	APPROVED BY	TITLE OR ORGANIZATION	DATE
R. C. YOUNT	I. R. FISH	Mgr Engineering Br. Public Works Dept.	2 SEP 1978

FIGURE 5-5A
SPECIAL PROJECT COST ESTIMATING FORM, NAVDOCKS 2417

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2. NAVFAC MO-321.2, *Maintenance Management of Public Works and Public Utilities for Small Activities* (current), Guidance for the PWO of an activity with fewer than 75 personnel in the Maintenance and Utilities Divisions, combined.
3. NAVFAC MO-322, Volumes I and II, *Inspection of Shore Facilities* (current), Detailed guidance on setting up and running an inspection system.
4. NAVFAC MO-325, *Work Simplification for Maintenance of Public Works and Public Utilities* (current), Guidance and procedures for job analysis and methods improvement.
5. OPNAVINST 11010.23 Series, Subj: *Management of Real Property Maintenance Activities.*
6. NAVFACINST 11010.64 Series, Subj: *Staff Support of Real Property Maintenance Activities (RPMA) Program.*
7. OPNAVINST 11010.34 Series.
8. NAVFAC P-428, *Public Works Department Management System.*
9. NAVFAC P-700, *Engineered Performance Standards for Real Property Maintenance Activities.*

Maintenance. What is done to keep facilities from wearing out, falling apart, or breaking down; preservation.

Repair. What is done when maintenance is ineffective; restoration.

Alteration. Work required to adjust interior arrangements, on base location, or other physical characteristics of an existing facility. Cannot increase external dimensions.

Minor Construction. All construction costing less than $100,000 per project performed with funds available for operation and maintenance or NIF overhead funds; and urgent construction over $100,000 and under $400,000 and financed with military construction appropriation.

Emergency Work. That work which requires immediate action to prevent loss or damage, to restore essential services, or to eliminate hazards.

Service Work. Routine maintenance service requests which can normally be accomplished in less than 16 manhours and which are not of an emergency nature. Examples: typical plumbing and/or electrical trouble calls, window replacement, lock repairs, etc.

Minor Work. Either routine work or emergency work which is expected to require more than 16 manhours, but less than the number of manhours specified for a specific job order.

Job Order. An accounting term which means the numerical identification of a specific undertaking (specific) or group of similar undertakings (standing) for which costs are to be separately identified.

Facility Support Contracts. Contracts, financed out of OMN or NIF funds (or on rare occasions out of R&D funds when maintenance of an R&D facility is involved), whose purpose is to accomplish the repair or maintenance of real property facilities, vehicles or equipment in an existing condition, or to restore them to initial or useable condition by overcoming the effects of wear and tear, disaster, damage, or deterioration, or to perform periodically required services required to preserve facilities in a useable or operable condition. New construction, improvement, or acquisition of facilities is not included.

Specific Job Orders. Work requirements of larger scope each of which requires and justifies maximum control and complete financial reporting.

Standing Job Orders. Documents which authorize highly repetitive types of routine performance and accumulate costs for time periods such as 1 month, 1 quarter, 1 year, etc. They are fundamentally fiscal accounting documents. However they also are used to authorize repetitive work which cannot be described in detail but relates to a particular cost account. There can be both estimated and nonestimated jobs accomplished under Standing Job Orders.

Supplements and Amendments to Authorized Work. A supplement to a specific job order is issued to authorize separate posting of charges to a different accounting classification than that shown on the basic job order, but still permits the comptroller to identify total costs for the job. Amendments to Specific Job Orders are issued to change the accounting classification for the basic job order in its entirety, or to modify description of the work included, or to reopen closed job orders. Amendments may also be used to change the accounting for the entire job, but may not be used to split accounting classifications within a job.

Rework. These are work authorization documents issued to approve the correction of faulty work performed by Public Works forces. When issued, they will normally take the form of a Specific Job Order but the rework will be chargeable to an overhead account. (**Tip:** Check and see when the last rework was reported on the labor control report at your activity.)

PART I — GENERAL POLICY

6.1.1 Introduction. The term "Maintenance Management" is widely interpreted at the field level. Most field activity personnel, when asked how they manage their maintenance effort, will reply to the effect that "We don't exactly follow the book here, since we have a unique set of operating conditions." The "don't exactly" in this case can range anywhere from a slight variation in the processing of specific job orders to a complete absence of any control whatsoever. A second category of answer which will be heard is to the effect that "We can't afford the overhead costs for all the inspectors, planners and estimators and work reception personnel." Still a third answer might be that "We don't have time to fool with the paperwork — we judge ourselves by results."

The reader will undoubtedly have heard of other such "interpretations" of Maintenance Management. The point to be drawn is that the system described in this chapter has neither universal acceptance, nor universal understanding in the Navy. It is not unusual to find the new officer in Public Works faced with the task of installing or rejuvenating the maintenance management system, or, in some cases, explaining it and defending it to his command. Albeit, it is a good system. When utilized properly, it will achieve results in terms of better maintained facilities at lower cost to command. It is not a complex system; it is basically a formalization of common sense into step by step procedures which enable you to optimize output from the shops.

Objectives. The objectives of the maintenance management system are to optimize the use of manpower, equipment, material, and money by:

A. Providing a proper and consistent level of maintenance to all Naval Shore Facilities.

B. Increasing workforce productivity.

C. Reducing maintenance costs.

D. Providing appropriate response to command requirements.

6.1.2 Precepts. The Navy's Maintenance Management system is grounded upon several basic precepts. They are as follows:

A. Maintenance and repairs are less costly if caught in their incipient stages; therefore, you should aggressively "seek out" and generate maintenance work rather than wait for it to appear in the form of a customer request, or emergency call.

B. Most craftsmen will produce a fair day's work for a fair day's pay if provided with the tools, materials, specifications, and uninterrupted time to do each task; therefore, you should focus most of your attention on making these resources available for the craftsman, rather than on the craftsman himself.

D. You cannot accomplish everything at once. Successful coordination and scheduling of shop forces is predicated on the acceptance by command of a work backlog.

E. The planning and programming of maintenance effort (Maintenance Control) should not be the job of supervisory shop personnel or the Maintenance Division Director. A separate staff organization is required to decide what will and will not be done, and when.

F. We learn by mistakes, therefore management should be able to view and analyze the maintenance effort after the fact, both in terms of individual job accomplishment and in terms of the productivity of the maintenance division as a whole.

The Maintenance Management System, as outlined in NAVFAC MO-321, and MO-322, translates these basic tenets into a fairly simple, but often misunderstood set of procedures aimed at increasing maintenance productivity through the use of work generation, work classification (or "programming"), planning and estimating, shop scheduling and management analysis of results. Just what these elements are and how they relate and interact with each other will be outlined in subsequent paragraphs. Application of these principles will vary somewhat to suit local conditions or capabilities. For small Public Works Activities see NAVFAC MO-321.1 for a modified Maintenance Management System.

6.1.3 Organization. The Public Works Organization for maintenance management is grounded on the principle of separate control. The Maintenance Control Division, as described in Chapter 2, is the key organizational element in the Maintenance Management System. It is here that work is generated, collected and classified, planned, estimated, ordered in priority, and committed for accomplishment. It is here, also, that the difficult decisions are made as to what work will be deferred, or not accomplished. The separation of control does not relegate the Maintenance Division to a purely functionary status. It does, however, unburden shop and division supervisory personnel from deciding relative priorities of work, worrying about resource availability, and other planning matters. The removal of these concerns frees the shop level supervisors to worry about matters for which they are best trained: quantity and quality of work.

At smaller activities where ceilings and workload limit the number of personnel which can be devoted to the maintenance control function, it is possible to combine functions under fewer people. It is important, however, to retain the separate organizational integrity of the Maintenance Control Division.

PART 2 — THE SYSTEM

6.2.1 The Systems Elements. Maintenance management viewed as a system, breaks down into a planning phase, an execution phase, and an appraisal phase. Figure 6-2 illustrates these three phases, and the specific management elements which each accomplishes within a "closed loop" of management.

PART I—REQUEST (Filled out by Requestor)

1. FROM: RESEARCH DIVISION

2. REQUEST NO.: 50-001-71

3. TO: PUBLIC WORKS DEPARTMENT

4. DATE OF REQUEST: 7/6/77

5. REQUEST FOR: [X] COST ESTIMATE [ ] PERFORMANCE OF WORK

5a. REQUEST WORK START

6. FOR FURTHER INFORMATION CALL: JOHN DOES EXT. 419

7. SKETCH/PLAN ATTACHED: [ ] YES [X] NO

8. DESCRIPTION OF WORK AND JUSTIFICATION (*Including location, type, size, quantity, etc.*)

PARTITION OFF ROOM IN BUILDING NO. 14 FOR OFFICE SPACE

9. FUNDS CHARGEABLE

10. SIGNATURE (*Requesting Official*): (signed) JACK JONES

PART II—COST ESTIMATE

(Filled out by Maintenance Control Division if estimate requested)

11. TO: RESEARCH DIVISION

12. ESTIMATE NO.: 8073456

13. COST ESTIMATE	
a. Labor	$ 1,380
b. Material	$ 2,490
c. Overhead and/or Surcharge	$ 400
d. Equipment Rental/Usage	$
e. Contingency	$ 854
f. TOTAL	$ 5,124

14. SKETCH/PLAN ATTACHED: [ ] YES [X] NO

15. [ ] APPROVED. PROGRAMMING TO START IN: Based on priority by computer.

[ ] APPROVED. BASED ON PRESENT WORKLOAD, THIS JOB CAN BE PROGRAMMED TO START IN _____, IF AUTHORIZED BY 25TH OF _____ AND FUNDS ARE MADE AVAILABLE.

[ ] DISAPPROVED. (*See Reverse Side*)

16. SIGNATURE: (signed) JOHN SMITH

17. DATE: 7/6/77

PART III—ACTION (Filled out by Requestor)

18. TO:

19. AUTHORIZATION TO PROCEED IS ATTACHED (*Check one if other than PW funds are involved*): [ ] NAVCOMPT 140 [ ] OTHER

20. WORK REQUESTED: [ ] HAS BEEN CANCELLED [ ] HAS BEEN DEFERRED [ ] WILL BE PERFORMED BY OTHERS

21. SIGNATURE

22. DATE

(*See Part IV on Reverse Side*)

FIGURE 6-3

WORK REQUEST (MAINTENANCE MANAGEMENT) NAVFAC 9-11014/20

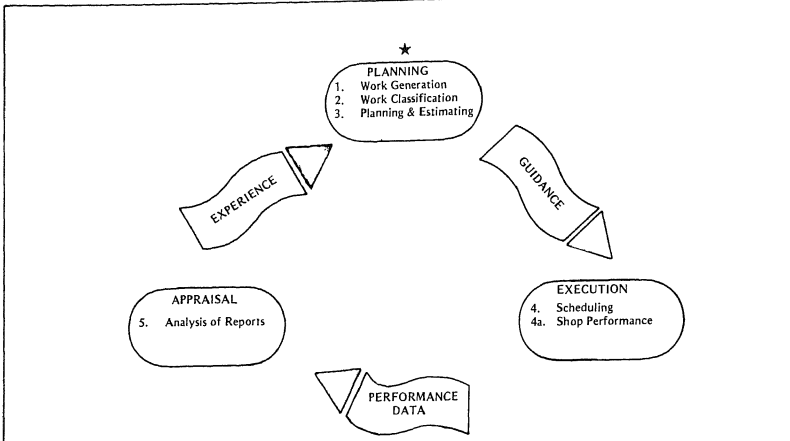


FIGURE 6-2
THE CLOSED LOOP OF MAINTENANCE MANAGEMENT

Before beginning a discussion of these 5 elements, it is emphasized that control of maintenance cannot be reduced to a simple set of procedures that will apply to every condition. Over emphasis on procedures and forms can sometimes throw the ultimate objective of fleet support out of focus. On the other hand, sacrifice of the entire system to achieve total flexibility and response to command is expensive and self-defeating. The best advice is that the system and its use must be tempered with common sense and judgment to suit conditions. If your system of control varies in particular from that which is outlined in MO-321, *Maintenance Management of Shore Facilities*, but still retains the essential integrity of all the elements described, and if it works, then it is a good system.

In addition to reading this chapter, it is recommended that the reader consult NAVFAC MO-321, to see a more detailed explanation of how work flows through the system. Those at small activities should refer to MO-321.1, *Maintenance Management of Public Works* and *Public Utilities for Small Activities*.

The Five Elements of Maintenance Management

A. Work Generation. Maintenance work can be generated by customers, by command inspection, or preferably by the Public Works Department itself through the Shore Facilities Inspection System. The first two sources are uncontrolled and reactive, the third is controlled and active.

1. Customer Requests. Can take the form of written work requests or telephone calls to the Work should be on a work request. Your activity should have a directive spelling this out, and designating personnel in each department or other organization entity authorized to submit work requests. This policy will result in fewer duplicated requests, and will permit training of customer personnel in the preparation and use of the work request form. The net result will be fewer calls and non-productive visits to the site by public works personnel attempting to find out what the customer "really wanted."

2. The Shore Facilities Inspection System. As previously stated, the best way to generate work is through continuous inspection because in so doing you identify the "invisible" as well as the "visible." You also identify work while it is still in its incipient stages and maintain a sufficient backlog of work to permit orderly work programming and scheduling. The system employs three types of continuous inspection. These are:

a. Operator Inspections. Operator inspections consist of examination, lubrication, and minor adjustments of equipment and systems for which the Public Works Department is responsible and to which a specific operator is assigned, such as a lathe. Frequency and details of the inspections should be contained in standard operation procedures made accessible to the operator. Equipment breakdowns should be reported immediately to the cognizant supervisor of the Work Reception and Control Branch.

b. Preventive Maintenance Inspection. PMI is the examination, lubrication, minor adjustment, and/or minor

☐ OEIS ☒ CONTROL INSPECTION

1. FACILITY NO.	2. COST ACCOUNT NO.	3. F A C	4. CATEGORY CODE	5. FUNDS ACCT NO	6. C W C	7. DATE SCHED 4-75 ACT 4-18-75	8. MGR INSPECTION BR INITIAL	DATE
2	7160	4	61010	44540	A		JK	4-23

9. DESCRIPTION AND LOCATION
Admin. Bldg., Security

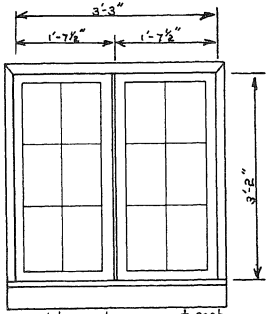
10. INSPECTOR
H.E. Snoops

11. INSPECTION TIME USED
3½ hrs

12. SHEET NO
2 OF 7

13. DESCRIPTION OF ITEM AND DEFICIENCY

Carp	Replace 2 broken 6-light wood casement sash, including astragal on east side of bldg. Frame and casings in good condition — DO NOT REPLACE. Reuse existing hardware. Sash size: 1'-7½" x 3'-2".
Paint	Prime and apply 2 coats white paint.



6-light wood casement sash

FIGURE 6-4
PREVENTIVE MAINTENANCE INSPECTION

and/or property, or (c) involve high cost or long lead time for replacement. Generally, PMI should be performed by shop personnel under shop supervision. It is the basic responsibility of the Inspection Branch to determine what is to be inspected and how often. Such determinations would normally be made with the advice and assistance of the shops involved. Breakdowns should be reported immediately to the cognizant supervisor or to the Work Reception and Control Branch. Deficiencies found are reported to the manager of the Inspection Branch through the inspector's supervisor. The Inspection Branch reviews reported deficiencies, initiates further action if required, and evaluates at the time of Control Inspection, the effectiveness of PMI.

c. **Control Inspections.** A Control Inspection is a scheduled examination of facilities by Public Works Inspectors to determine the physical condition with respect to uniform maintenance standards. The objectives of Control Inspections are: (a) to provide for periodic examination of all items of shore facilities not covered by Operator Inspection or PMI, (b) to monitor adequacy of Operator Inspection and PMI, (c) to obtain a reduction in the number of breakdowns and cost of repairs, (d) to provide a constant backlog of work to permit orderly planning and scheduling of work, (e) to detect and reduce over-maintenance, (f) to classify defects according to degree of hazard, and (g) to serve as a basis for certification of safety. Control inspection is performed by personnel assigned to the Inspection Branch or made by others at the request of the Inspection Branch. Control Inspectors do not make adjustments on equipment but report deficiencies to the Manager of the Inspection Branch. Breakdowns are reported immediately to the cognizant supervisor, or to the Work Reception and Control Branch.

Control Inspections are divided into structural, mechanical, and electrical inspections. A typical inspection report is illustrated in Figure 6-5. Detailed guidance on the operation of the Shore Facilities Inspection System is contained in NAVFAC MO-321, Chapter 5 and in NAVFAC MO-322. Successful operation of a Continuous Inspection System is dependent in large measure upon an up-to-date inventory of facilities, and the use of uniform maintenance standards. Further discussion of the controlled inspection as a management tool is included in Section

d. **The Inventory.** The same inventory of Class I and II Property which is utilized in the Shore Facilities Planning Process (Chapter 4) is utilized in the maintenance management program as a basis for systematic facilities inspection. You need to know what you have to maintain, qualitatively and quantitatively, before you can start to identify what the job is. You obviously need to know what types of facilities you own in terms of use, structure, age, and operational necessity before you can begin to identify requirements, order priorities, or assign resources. All too often, the inventory for maintenance (and subsequently the inspection schedule) are pushed into the background to become out of date. New buildings are not properly recorded, and demolished structures are not deleted. As a result, the picture which you and higher authority have of your inventory becomes distorted. Since the inventory, along with the maintenance backlog (see Chapter 13) is the primary basis for fund allocation at the claimant level, the accuracy of the inventory is vital. Overstating the inventory can jeopardize the Shore Facilities Planning cycle; understating it can result in fewer O&M dollars for maintenance and exaggerate unit cost data for maintenance. In addition, an inaccurate inventory makes logical inspection schedules impossible. Qualitative inaccuracies on the plant account can also result in too few maintenance dollars. Be sure that conversion and alteration are noted on the Property Record Card. The facilities inventory is normally held by the Administrative Division and updated as necessary by the Maintenance Control Division Director or the ROICC. It should form the basis for the planning of Control Inspections. Another type of inventory which is necessary is the inventory of Class III property which is maintained for the Preventive Maintenance Inspection.

3. **Command Inspections.** An additional procedure for generating work for Public Works accomplishment is the Military Zone Inspection. Lists of discrepancies and reports of action taken on them are maintained in the Administrative

EMERGENCY/SERVICE WORK AUTHORIZATION

NAVFAC 11014/21 (Rev. 6-75)

W.O NO. 26510

CHARGE NO. 9N5910

CARD NO. 1 | 1 | 2 | 1&2 | 3

LCC: C C

DATE REC'D: 791021

W C / C: 55A

STD HRS:

W C / C:

STD HRS:

DESCRIPTION OF WORK: REPAIR HOT WATER LINE

WORK LOCATION: 0111S

ORIGINATOR-PHONE: ETTA CARPENTER (3196)

NATURE OF WORK: HOT WATER LINE LEAKING IN RECORDS STORAGE ROOM

SHOP COMMENTS: Required prior to any damage to records

CRAFTSMAN: [signature]

	DATE STARTED	DATE COMPLETED	W C / C	HRS USED
2	791021	791021	55A	0120

W C / C:

HRS USED:

BUILDING NUMBER: 0111S

EQUIPMENT NUMBER:

S/N 0105-LF-002-7105

705-461

☆ U.S. Government Printing Office: 1977—705-461

FIGURE 6-6

4. Work Reception. There must be a single, centralized reception point within the Public Works Department for the reception of all work under the Maintenance Management System if management is to exert proper control over the efforts of the department. The Work Reception and Control Branch of the Maintenance Control Division fulfills this function. This branch screens, classifies, and records all incoming requests for maintenance work (except for emergency and service work); controls the step-by-step processing of work requests, inspection reports, job orders, emergency and service authorizations, and posts work on the work input control charts. The branch also types job orders and maintains inspection frequency files and work input control charts (the job inventory system). The Work Receptionist should be knowledgeable concerning all work which has been previously received, especially as to current status. The importance of the work of the reception point cannot be overemphasized. The image and reputation of the entire Public Works Department is usually set by this interface point. Professional courteous treatment of all customer requests and inquiries by work reception personnel is one of the most critical ingredients of a well-run Maintenance Management System.

B. Work Classification

1. Work Classification and Initial Screening. Quite obviously, it would be uneconomical and unnecessary to manage and control a 2-hour service call with the same precision as a 300 manhour major repair job. Just as obvious, is the fact that you do not wish to delay immediate action on bonafide emergencies. Therefore, all work goes through an initial process of classification and screening at the work reception desk before it is subject to further control. During this step, as highlighted in Figure 6-6 (I), the work receptionist filters out illegal work, identifies emergency jobs for immediate transmittal to the emergency/service work center. The receptionist also identifies nonemergency service work (less than 16 manhours) and forwards it as well to the emergency/service work center (Figure 6-6). A final step is ensuring that non-E/S work submitted by customers is in the proper format (a written work request). What is left after this initial screening should be legal work of a nonemergency nature, which is of greater scope than a service call. It is at this point that Work Input Control really begins to function in earnest.

2. Categories of Work. Work classification actually begins in the previous step with regard to emergency/service work. The balance, however, must undergo further differentiation in order to categorize maintenance and repair work as minor, specific, or standing; and to identify requests for minor construction and improvements. (See definitions of these terms on page .)

a. Minor Work. This involves the determination of whether or not a job will take less than 40 hours (or whatever the local cutoff for minor work is) to accomplish and identify all jobs in this category as "minor jobs." A minor job can be planned, estimated, programmed and scheduled as would a specific job (see below), however, it will be accounted for collectively with similar jobs under a standing job order (open account) rather than a specific job order. This means less paperwork for the comptroller and the Maintenance Control Division.

separately. An example of a specific job is repair of deteriorated roofing on a warehouse.

The scope of many specific jobs may exceed the command's authority to approve and fund. These should be identified and a request for funds forwarded to the activity's major claimant or other funds source as appropriate. A complete discussion of these "Special Projects" is found in Chapter 5.

c. Standing Jobs. In addition to specific jobs there are larger jobs (over 40 hours) which due to their repetitive nature, are processed as "standing job orders." Examples of this would be grass cutting, or janitorial services. This type of standing job order might or might not be planned, estimated, and programmed. It is preferable to have as much of this type of work planned and estimated as is possible.

d. Station Planning Board. Usually the amount of facilities money which a command can spend on improvements vice maintenance during any year is limited, either by directive from higher authority or by the simple exigencies of limited resources. Rather than encumber the PWO with the decision as to which improvement projects to fund (a decision which would invariably be wrong) it is usual practice to have a Station Planning Board, chaired by the Executive Officer, with representative memberships from all departments, to make these decisions. Other functions of this board might include assisting the command in development of their Logistic Support Requirements Plan (see Chapter 4) and other planning documents, establishing budget priorities, and resolving various facilities problems which infringe upon command policy morale, or welfare. It should not be used as a "super Maintenance Control Division" in the routine programming and scheduling of maintenance and repair work. This function is better handled by the Maintenance Control Division. Once the Station Planning Board reviews and decides upon the priorities of minor construction projects, they are either discarded, put in the suspense file, or processed to completion along with all other jobs.

e. Authority. As noted earlier, certain jobs, whether they be maintenance, repair, or alteration/construction; will be identified which will exceed a commanding officers authority to approve. These must be processed as Special Projects (see Chapter 5).

3. Decision Making. At this point we are left with identified specific, minor, and standing jobs which are legal, and are within the Commanding Officer's authority to fund. It is here that the *decision making or priority* assignment process begins. The difficult question to answer, of course, is "which jobs will we do with our limited resources?" or, "which job can we afford to defer?" There is no pat formula which the PWO can apply which will give him the answer. There are, however, several ways of "categorizing" a job and viewing it which will assist the PWO, APWO, and Maintenance Control Director in arriving at sensible priority decisions. These include job priority, maintenance standards, method of accomplishment, and source of funds.

a. Job Priority. Most Public Works

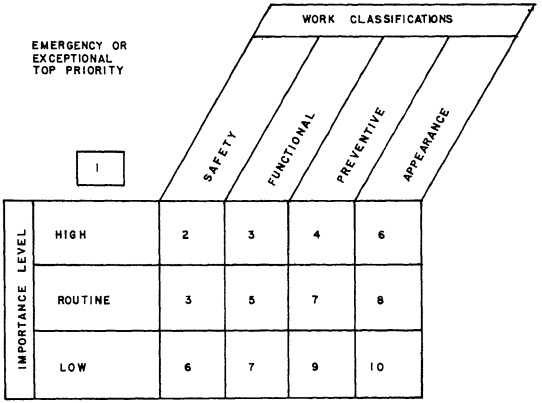

WORK CLASSIFICATIONS
EMERGENCY OR EXCEPTIONAL TOP PRIORITY
1
SAFETY
FUNCTIONAL
PREVENTIVE
APPEARANCE
IMPORTANCE LEVEL
HIGH
2
3
4
6
ROUTINE
3
5
7
8
LOW
6
7
9
10

FIGURE 6-7

accommodate them. Thus it is not enough to ensure all work accomplished is valid. Rather, it is the manager's responsibility to select only those jobs which are "most" valid. The diversity of maintenance requirements in the worldwide shore establishment makes it impractical to publish a single method for prioritizing all work at all activities. It is, though, a fundamental management responsibility to devise a reasonably objective method for identifying the relative importance of each job. Once done the manager can select those jobs which should be planned and estimated and scheduled for accomplishment. Figure 6-7 is a sample of a matrix method of prioritizing jobs. Others may be able to improve on this concept or even develop an entirely different method which better satisfies the needs of his activity.

b. Maintenance Standards. The need for appropriate standards of maintenance almost goes without saying, yet this is probably the least adhered to element of maintenance control. The general standard for maintenance of Naval Facilities is to maintain only as appropriate to assure facility life and mission support — not to maintain everything in perfect condition. The concept says that all facilities cannot and should not be maintained to the same level — that one does not maintain a warehouse with 5 years remaining life with the same standards as a warehouse with 20 years remaining life; nor does one maintain warehouses to the same level as administration buildings, or hospitals. Fortunately, there are well defined standards available in the NAVFAC Inspection Manuals (MO-322) and in the various other MO Manuals for maintenance (see Appendix C).

c. Level of Maintenance. Each facility at an activity does not contribute equally to the activity mission. By relating the level at which each facility is to be maintained to the support it provides to the activity mission, a greater share of maintenance can be provided to facilities that are vital to the mission. This is accomplished by establishing a Facility Categorization Code (FCC) which assigns a level of maintenance appropriate for various facilities. The assigned Level of Maintenance is not of itself a priority system for specific jobs. Some jobs on Code C facilities may be required ahead of jobs on Code A facilities because of safety requirements, or for protection of government property. A single facility may conceivably have different classifications for various parts. For example, roads or railroads serving an ammunition depot may have some sections vital to the activity mission, while other section may have only limited importance. While multi-classification may be desired when the facilities are extensive, the application of multi-classification to individual facilities should be restricted. Figure 6-8 reflects characteristics that are to be applied to a facility to determine its level of maintenance classification. The activity should so classify each facility in conjunction with the Engineering Evaluation and Preparation of Shore Facility Planning Documents as outlined in Chapter 4. The categorization code for each facility should appear on the appropriate inspection records and each Inspector, Planner and Estimator, and Shop Supervisor should be aware of its use and intent. The head of the Inspection Branch should relate reported deficiencies to the proper level of maintenance desired for the facility; in determining which work to accomplish in the immediate future, which to defer, and which requires no action. The code should be used in work management control to *assist* management in

indicates the [illegible] to have the job accomplished; such as contract, shop forces, military forces. For record keeping purposes a one-letter Method of Accomplishment Code (MAC) should be assigned to each possible method available to an activity for accomplishing work; that is, Contract - C, Shop Forces - S, Military - M, and Production Department - P. A decision to contract a portion of its maintenance workload can place additional management burdens upon the PWD. In the case of service type contracts, janitorial for example, the PWD will normally be required to prepare plans and specifications and to provide inspection services. It may also become quite involved in administration of the contract. As ceiling point reductions and the Commercial/Industrial Review process (paragraph) have increased the volume of work the PWD is obliged to contract, the interest in these contracts, normally referred to as maintenance service contracts or facility support contracts has increased substantially. To provide current guidance for such contracts CECOS, along with the EFD's, is currently in the process of drafting a Maintenance Service Contract manual. Copies of the manual should be available by the of FY79.

e. Source of Funds. Another tool to assist in decision making is the Functional Activity Code. This code will indicate to management the source of funds for work to be accomplished. This knowledge is of value for planning purposes *because it will aid in balancing the shoploads with available funds* and in maintaining good customer relations. It is also of value in identifying work when queries are received from a customer concerning the status of a job. A single-digit Functional Activity Code (FAC) should be assigned to customers financed under separate funds, and special funds furnished to the Pubic Works Department, such as housing and Naval hospital work. Each Public Works Department should develop functional activity codes to fit its need.

4. The Job Requirements and Status Chart. At any particular point in time, the number of individually identified items of facilities workload, i.e., for maintenance, repair, minor construction or production support, may be in the hundreds at most activities and in the thousands at large activities.

The Job Requirements and Status Chart, Figure 6-9, provides one form of ready reference for keeping track of all specific and minor jobs that have been established as known requirements. It is a holding device for those jobs being processed, planned and estimated for formalized programming. It is maintained on a continuing basis. The Maintenance Control Director or his designee should review weekly all work placed on this chart and make adjustments as the current situation requires. This chart contains all known specific jobs which, after initial screening for necessity, are required to achieve the proper level of maintenance at an activity, or, are required to support the mission of the activity. All customer financed individual jobs and minor construction, alteration and improvement type work are also included. This chart provides information of proposed planning action so that the status of work not programmed for shop accomplishment may be readily ascertained. In general, all new work is first entered on this chart and remains there until authorized for shop accomplishment, cancelled, or completed by contract. Jobs will remain on this chart in most instances in order to control the preparation

job order size received by the Public Works Department, including maintenance work generated by inspection; the date the work was received; how it will be accomplished; the level of maintenance classification; the customer or source of funds; the estimated cost; and a progressive record of the planned actions on individual jobs is also included on the chart.

C. Planning and Estimating. The last section on work classification presented tools to assist the decision maker (usually the Maintenance Control Director) in deciding what job to undertake and which resources to use in its accomplishment. For those jobs which the manager elects to do, a work plan must be prepared. This plan is the result of the Planning and Estimating process. It's objective is to determine the specific commitments of manpower and materials, time, money, and most of all *sequence* of operation required to do the job. To assist the P&E in this function, the Navy has developed "Engineered Performance Standards" (EPS) which take the guesswork out of deciding how long a particular craft phase of a job will take. Your P&Es should be using these standards, since they save his time and usually provide more reliable estimates than individual judgment. When an engineered design is required, the Engineering Division will provide it to the P&E. The P&E also prepares requisition documents for all nonstandard materials required for the job. Detailed Planning and Estimating should not take place until the decision has been made to proceed with a job. Such a decision can usually be made on the basis of a preliminary cost estimate or scoping estimate.

After the job is planned and estimated, it is formalized as a job order by the assignment of a job order number and accounting data. It is now ready to be programmed first into a specific month and then into a specific week for ultimate accomplishment by the Maintenance Division.

1. Scoping Estimate. In many instances, it is advantageous for management to obtain an estimate of job costs before assigning a job priority. The formal planning and estimating process can provide this but only at significant expense. Since a "ballpark" estimate is normally adequate, NAVFAC has emphasized use of the *scoping estimate;* a rough, quick estimate of costs. The scoping estimate is particularly useful when dealing with reimbursable customers. They can be informed of approximate job costs and asked to decide if they wish to proceed with the work. Sometimes they may be asked to fund the work at the scoping estimate figure. The intent is to reduce the "breakage" of jobs which have been processed through the time-consuming and expensive planning and estimating step. NAVFAC P-716, Unit Price Standards, is available to those preparing scoping estimates.

D. Scheduling.

1. Job Order Programming. After the decision has been reached to accomplish a job, and the job has been planned and estimated it must be programmed into a specific month (Shopload Plan) for accomplishment. This programming effort generally involves balancing workload against shop capabilities and other constraints. Some of the most common constraining factors are illustrated in Figure

planned start, should appear on the current month Shop Load Plan. The costs of demobilizing jobs for which material has run out and remobilizing after material is received are expensive, and represent a direct loss of productive work for which these funds could otherwise have been used. Placing high priority work for which material is not in sight on the plan usually results in reprogramming to a later date anyway. Material availability for all jobs on the current month Shop Load Plan is a prerequisite to a practical plan.

b. Equipment Availability. Equipment availability problems usually concern one-of-a-kind items at a command, such as a thirty-ton mobile crane. Conflicts in requirements for such equipment are usually brought to the attention of management by the programming system early enough for fairly easy resolution.

c. Manpower Availability and Job Phase Sequencing. These two constraints are discussed together because they are so interrelated as to be inseparable. Gross manpower availability for each work center for specific job orders will also be the subject of a subsequent discussion. Preparing a monthly Shop Load Plan is somewhat analoguous to writing checks (programming job orders) against a checking account balance (Manpower Availability) until the balance has been reduced to zero. Rather than a single "account" and a single "cash balance," however, the programmer must deal with separate "accounts" and "balances" for each work center.

d. The Manpower Availability and Work Plan Summaries. Prior to the formulation and adjustment of monthly Shop Load Plans, the job order programmer must know the manhours available for programming within each Work Center. Where customer funds provide significant support to the Public Works Department, he must know how many manhours to allot to each fund source. To determine this information, he develops Manpower Availability Summary and Work Plan Summaries for each month.

Figure 6-10 shows Manpower Availability and Work Plan Summaries. These Summaries are the department's plan for the general utilization (and, by breaking down the Work Plan Summary by fund sources, a payroll support plan) for the Maintenance and/or Utilities Division work force.

2. The Monthly Shop Load Plan. The end product of job order programming within the Maintenance Management System is the Shop Load Plan (Figure 6-11). The Shop Load Plan is Public Works Management's (i.e., the Public Works Officer's plan) for utilization of shop forces on specific job orders for a given month. It provides the Master Scheduler with direction on what jobs to schedule within the month. All levels of management from the Shops Divisions upward participate in its preparation.

The Shop Load Plan is expressed in terms of the commitment of a finite number of manhours for each specific Work Center for each specific job programmed. The Shop Load Plan is usually divided into sections for convenience in balancing shop labor commitments against the various fund sources which support the Public Works labor force. The minimum breakdowns usually shown are (a) jobs supported by Public Works Department funds, i.e., Maintenance Floor

A	activity mission	fulfill facility mission
B	**Scheduled For Replacement/ Repair:** Approved military construction project, urgent minor construction project, or special project	Limited maintenance to allow facility use until replaced or repaired
C	**Inactive or Excess:** Excess to activity's mission requirements	Limited maintenance to assure weather tightness, structural stability, protection from fire or erosion, elimination of safety or health hazard, and to permit reactivation within the period prescribed under mobilization plan

FIGURE 6-8
FACILITIES CATEGORIZATION CODES

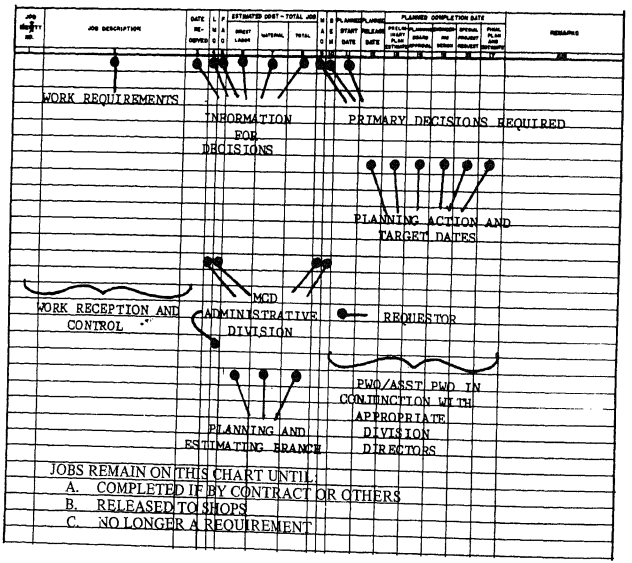


FIGURE 6-9
JOB REQUIREMENTS AND STATUS CHART – SPECIFIC JOBS

NAVMAT-CBC-5220/28 (REV. 3-65)

PROGRAM PLANNED: Month of Never | PAGE: 1 | OF PAGES:

SPECIFIC WORK — PLANNED PRODUCTIVE LABOR IN MAN-HOURS — ESTIMATED COST-TOTAL JOB

JOB ORDER NO.	JOB DESCRIPTION	LEAC	FACIL	SCHEDULED START DATE	SCHEDULED END DATE	BRANCH OR SHOP CODE NUMBER	0621 CARP	0622 UPH	0623 PAINT	0624 SIGNS	0625 P&P	0626 SHTML	0627 E/S	0631 LABOR	0633 PEST	0634 GRDS	0635 JAN	0641 REF	0642 TCLE	0643 P&F	0644 MRCH	0645 WELD	0646 FLEC	0647 LYNE	0649 HTG	1981 R/S	982 DFER	2092 2093 MNT	DIRECT LABOR	MATERIAL	CONTINGENCY	OVERHEAD & UNCHARGED	TOTAL	REMARKS
	Public Works Department Funded																																
	Mh Available for Specific J.O.'s						681	-	673	100	655	340	-	456	30	75	-	190	110	98	600	660	285	513	-	-	-	-						
	Carryover J.O.'s																																
4797	Repair Roof, Bldg 45	A	1				45				20	20		30								20							1850	1000			2850	Carryover Unprogrammed
	(etc. until Carryovers programmed)																																
	New Starts																																
3940	Repair Fenders, Pier 1	A	1				40							80								20							400	389			789	
5958	Rehab. Cold Storage Room, Marshall, Bldg 98	B	2				40		40			38		20				100					50						670	800			1470	
	(etc. until all avail. mh committed)																																
Total	Man-hrs Programmed to PWD-Funded Jobs						681	-	673	100	655	340	-	456	30	75	-	190	110	98	600	660	285	513										
	Family Housing Funded Jobs																																
	Mh Available For Specific J.O.'s						500	-	600	-	250	60	-	300	-	-	-	-	-	-	-	40	250	20										
	Carryover J.O.'s (as appropriate)																																
	New Starts																																
8957	Rehabilitate Qtrs. "A"	B	2	4/4	10/4		68		80		20			50								58							387	425			813	
	(etc. until all mh. avail. are committed)																																
Total	Man-hrs Programmed to Family Housing Jobs						500	-	600	-	250	60	-	300	-	-	-	-	-	-	-	40	250	20										
	Other Customer-Funded Jobs																																
	Mh Available for Specific J.O.'s						300	-	200	24	100	40	-	100	-	-	-	60	40	40	150	238	150	40										
	Carryover J.O.'s (as appropriate)																																
	New Starts																																
9340	Install New Navy Exchange Cases	C	3				20		20													80							878	727			605	
	(etc. until all avail. mh committed)																																
Total	Man-hrs Programmed to Cust Funded Jobs						300	-	200	24	100	40	-	100	-	-	-	60	40	40	150	238	150	40										

FIGURE 6-11
SHOP LOAD PLAN

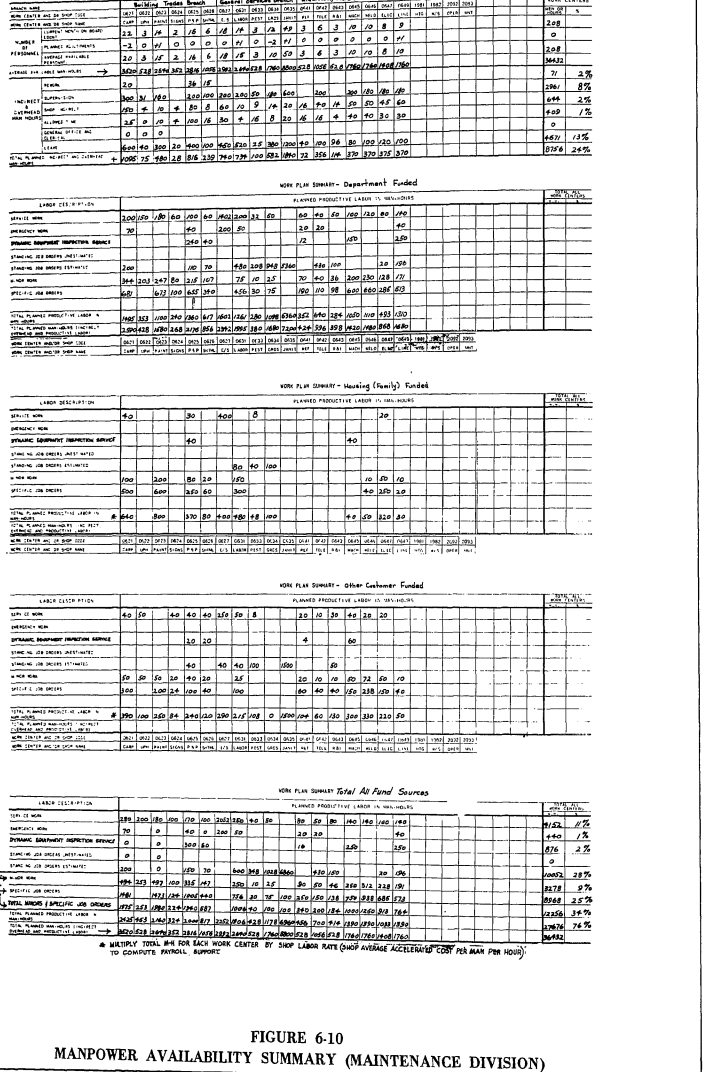


FIGURE 6-10
MANPOWER AVAILABILITY SUMMARY (MAINTENANCE DIVISION)

which provide a Short-Range Workload Plan and a Long-Range Workload Plan.

The Short-Range Workload period has been defined as the current month and the two succeeding months. The Long-Range Workload Period is comprised of the nine months following the Short-Range Period.

The Short-Range Workload Plan consists of three Shop Load Plans: one for the current month and the individual plans for each of the next two months.

The Long-Range Workload Plan may consist of commitments of resources to identified jobs on partially completed Shop Load Plans for each of the nine months involved (very few Public Works Departments are able to make full detailed commitments beyond the Short-Range Period because of highly variable parameters such as material delivery). Some activities utilize a listing with relevant data of jobs to be performed within the Long-Range Period as a Long-Range Workload Plan.

As each month passes, a new Shop Load Plan must be prepared for the new third month within the Short-Range Period and added to the Short-Range Workload Plan. The plans for the current month and following month are already programmed, but usually need updating.

Four times a year, the Short-Range Workload Period corresponds with the Funding Fiscal Quarter. This coincidence affords Public Works Management the opportunity to correlate job order programming with Fund Source Availability.

Before the job can be accomplished, however, it must be scheduled into a specific week and day(s). This step is the "fine tuning" after job programming, and is accomplished by the Master Scheduler, under the supervision of the Maintenance Control Director.

3. **Shop Scheduling.** Shop Scheduling is illustrated in Figure 6-13 (V), takes place in two phases: Master scheduling of specific job orders on a weekly basis and work center scheduling of specific and minor work. Master scheduling connects specific jobs to each work center for accomplishment during the following week. Work Center scheduling takes up where master scheduling leaves off; each work center supervisor breaks down the weekly assignments provided by the master scheduler into daily work assignments for the various craftsmen in the shop. In addition to the daily assignments for work on specific job orders, the work center supervisor assigns minor work to the remaining uncommited shop forces.

Shop scheduling is done for all work center manhours after deducting for fixed assignments (Standing Job Orders, PMI, periodic inspection, etc.), leave, holiday, and other indirect or overhead time.

Of the remaining manhours, 75% should be scheduled by the Master Scheduler for larger jobs (Specific Job Orders) which have been carefully planned and estimated. The remaining 25± of Work Center manhours is scheduled by the Work Center Supervisor for smaller jobs (Minor Work Authorizations).

on-board personnel may vary daily. Rather than disrupting work on the carefully planned and cost-estimated major jobs, some of the minor work can be temporarily shelved.

Since adherence to the Master Schedule is essential for economical accomplishment of the major work, each Job Schedule that the master Scheduler prepares is carefully checked by work center supervisors and branch managers; minor adjustments are occasionally made on the job schedule to ensure maximum Work Center efficiency. A Job Schedule must be approved at a weekly meeting (Figure 6-12) before it becomes final. The Work Center Supervisor also works in close contact with the Master Scheduler to keep him informed of actual Work Center manhours constraints or conditions.

These two levels of Shop Scheduling provide for flexibility in scheduling work. Shop Scheduling as a whole provides for the orderly and economic accomplishment of jobs. Further scheduled times, when compared to actual manhours required to accomplish the work, form the basis of management analysis of results.

4. **Unfunded Work.** The previous paragraphs have addressed the processing of jobs which have been funded. But what of the job which is not sufficient priority to achieve funding, or is of a scope which exceeds the approval authority of the activity Commanding Officer? All this unfunded *maintenance and repair* work in these categories is held in suspense and reported annually to higher authority on a report entitled the Annual Inspection Summary.

5. **Work Performance.** (See Figure 6-13 (V)) The fact that the Maintenance Management System focuses primary attention on achieving increased productivity through inspection, planning, estimating, and scheduling does not lessen the need for good supervision and good work performance. In fact, the job site is where the potential for real savings and efficiency lies. Chapter 14 addresses principles of good supervision, incentives, and other principles of "people management." Suffice to say here that your most critical resource is people. How they are supervised will determine how good a job they produce for you, and thereby you for Command.

a. **Work Simplification.** "Work Smarter, Not Harder." NAVFAC MO-325, *Work Simplification*, explains Work Simplification techniques and concepts. The basic theory of Work Simplification is that "there is always a better way" — a better way to do a particular job and a better way to utilize equipment and personnel. Its use can eliminate or minimize bottlenecks, red tape, build morale, and generally encourage more efficient operational methods. If closely coordinated with the Beneficial Suggestion Program, it can reap real savings in increased shop efficiency.

b. **Work Input Control.** The term "Work Input Control" encompasses the processing and control of all work from the time it is identified until the time it is forwarded from the Maintenance Control Division to the Maintenance Division for shop scheduling and accomplishment. It begins with the initial screening and classification actions of the work receptionist, and ends with

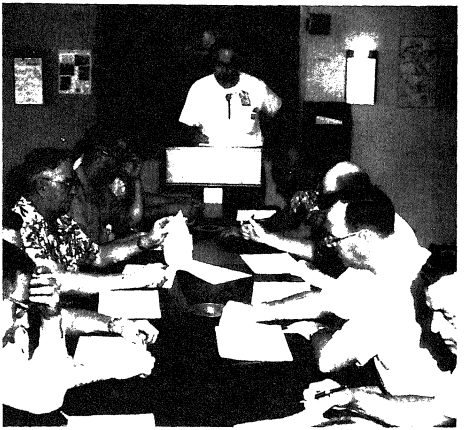


FIGURE 6-12
MANPOWER AVAILABILITY SUMMARY (MAINTENANCE DIVISION)

of planned and estimated jobs to the Maintenance Division. Between these two points, many decisions must be made regarding priorities, methods and sources of accomplishments, funding, and other critical considerations.

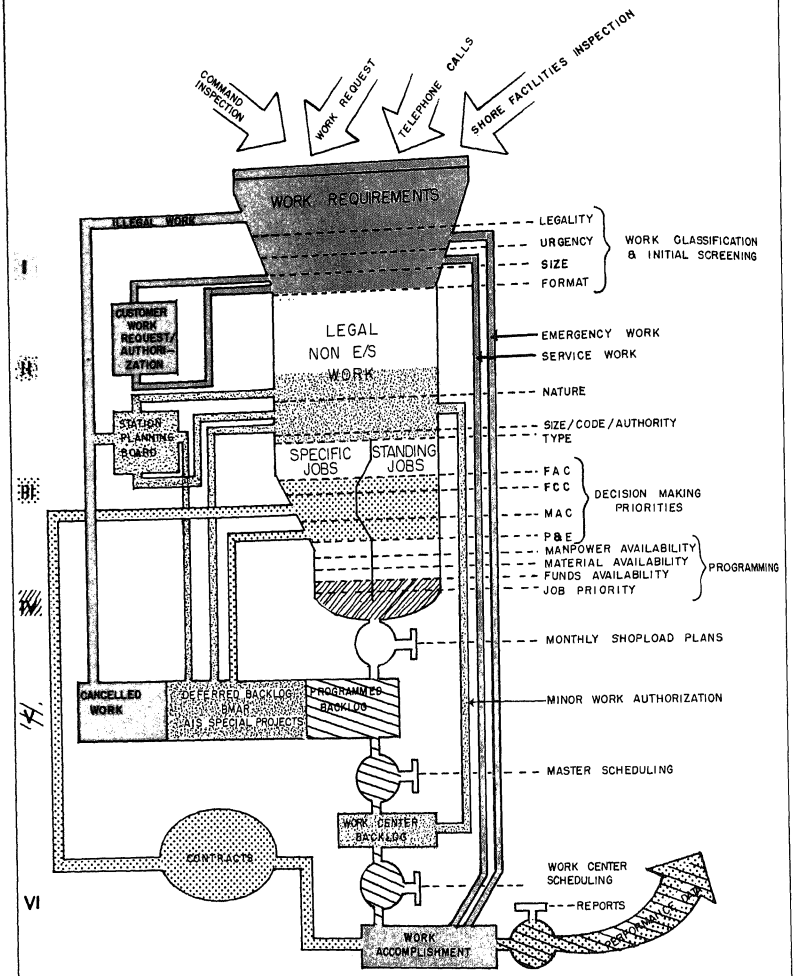
6. Commercial/Industrial Review. Prudent management requires that activity managers seek the least costly method of obtaining required services. In many instances, particularly in facility maintenance, the least costly alternative may involve contract performance of various functions. Since the mid 1950s it has been federal policy to contract for all work within the government that is not governmental in nature. In general, such works is referred to as a commercial/industrial (C/I) activity and include such things as facility maintenance, janitorial service, refuse collection, vehicle maintenance, and many more. This policy is formalized in Office of Management and Budget (OMB) Circular A-76 and, for the Navy, in NAVMATINST 4860.12. In addition, the instruction prescribes a formula to be used in determining the comparative inhouse versus contract costs of Navy C/I functions. It also requires a cyclical review of these activities and lists considerations other than cost which can affect the analysis.

Recently the C/I program has been an item of Executive level interest. Normally such concern results in program changes, and this has certainly been the case. Since mid 1976 the program has been modified and remodified. It remains in functions currently performed inhouse, but would be biased in favor of contracting new functions or those currently under contract. Should the dust ever settle, and should the government elect to vigorously enforce the C/I program it could have significant consequences for the facility manager. The PWO would be wise to remain aware of the program and its requirements.

a. Facility Support Contracts. Economics as well as ceiling limitations have resulted in an increase in facility support contracts. In many cases the switch from inhouse effort to contract performance has resulted in problems; therefore, this area requires special consideration.

Facility Support contracts cover several different types of service; however, it is the type defined as follows that causes the biggest problems.

> Maintenance work that is either normally performed by the public works forces, such as regular recurring maintenance and upkeep work, when the civil service work force requires assistance to handle the workload, or specialized and occasional maintenance work.


COMMAND INSPECTION
WORK REQUEST
TELEPHONE CALLS
SHORE FACILITIES INSPECTION
WORK REQUIREMENTS
ILLEGAL WORK
LEGALITY
URGENCY
SIZE
FORMAT
WORK CLASSIFICATION & INITIAL SCREENING
I
CUSTOMER WORK REQUEST/ AUTHORIZATION
LEGAL NON E/S WORK
EMERGENCY WORK
SERVICE WORK
II
NATURE
STATION PLANNING BOARD
SIZE/CODE/AUTHORITY
TYPE
SPECIFIC JOBS
STANDING JOBS
FAC
FCC
DECISION MAKING PRIORITIES
IIIE
MAC
P&E
MANPOWER AVAILABILITY
MATERIAL AVAILABILITY
FUNDS AVAILABILITY
JOB PRIORITY
PROGRAMMING
IIIM
MONTHLY SHOPLOAD PLANS
IV
CANCELLED WORK
DEFERRED BACKLOG
BMAR
AIS SPECIAL PROJECTS
PROGRAMMED BACKLOG
MINOR WORK AUTHORIZATION
MASTER SCHEDULING
WORK CENTER BACKLOG
CONTRACTS
WORK CENTER SCHEDULING
REPORTS
PERFORMANCE DATA
VI
WORK ACCOMPLISHMENT

tendency not to give the work accomplished under service contract the same review and inspection that in-house work or construction contracts are given.

All facility support contracts over $2,500 must be competitively bid and if under a specified dollar limit (for example $3,000,000 for janitorial contracts) small business regulations apply unless an exception is granted. Also, a commercial/industrial activities review must be conducted if the work content is over $100,000.

The following major items should be considered for any major facility support contracting:

1. Provide adequate leadtime prior to award to assure a wide range of contractor participation.

2. Clearly specify the work to be accomplished.

3. Ensure that the specified work is the proper level of service required.

4. Provide a proper level of inspection.

7. Tips. There is probably more free advice available on the subject of what is wrong with and how you should run your Public Works Department than on any other subject. Most of it is not only negative in nature, but also wrong. Listed below are a few positive, "right" tips on Maintenance Management which have been borne of actual experience in the field.

a. Invest in and use the system — it will let you produce more for the command with the same amount of money and people, minimize flaps, and make cocktail parties more enjoyable for the PWO.

b. Brief your Commanding Officer, Executive Officer and other department heads on the system and its benefits (as well as its apparent disadvantages). If given half a chance, these people will help you.

c. Get out on the job — the best incentive for a craftsman is to know that his boss is interested in what he is doing. This also makes customers feel secure, and provides a chance for you to get away from all the paperwork.

d. Don't preempt the system too much. A zealous PWO can be his own worst enemy by acting as "super scheduler" and requiring instant response to every command desire.

e. Make sure your work receptionist has a golden tongue, and infinite patience.

f. When things get tight use your contract authority to eliminate an excessive backlog of maintenance.

g. If you are going to exceed the Commanding Officer's authority, increment jobs, bend rules, etc., check with your EFD to see how you can best get away with it, and always make sure that the end product will serve

h. Publish what you are doing on a monthly basis in your station newspaper.

i. Equip your emergency/service personnel with department "calling cards" which they can sign and leave in the door when a customer is not at home. (Use Public Works Call Notice, NAVFAC 11014/28(6-73).)

j. Have your work receptionist take 2 hours a week and telephone the status of the 20 oldest customer jobs to the customer " or better, do it yourself.

k. Spend all of your money by the end of the fiscal year. Have lots of contracts for painting, etc., ready to do in June (interior painting in winter).

l. PM your air conditioners in February and your furnaces in July. Apply this concept to other seasonal jobs.

m. Consider replacing lawns with low maintenance ground cover, shrubs, etc.

n. Utilize utility-back pickup trucks with two-way radios for your emergency/service calls.

o. Don't manufacture signs or parts for machinery or furniture in your shops if you can help it. Its more expensive, regardless of what they tell you.

p. Don't reorganize until you understand the organizational relationships that exist.

q. Don't organize around people.

r. Always give a customer a realistic completion date, plus two weeks. If you finish on time he will be that much happier.

s. Train P&Es to inspect and inspectors to perform P&E work.

t. Always remember, and instill in your maintenance organization that it exists to serve the command and for no other reason.

u. Brief your entire department on the financial status of Public Works once a quarter — use the same time to field questions.

v. Always advise a customer of a start date at least a week in advance so that he can make the site available.

w. In housing — *always* advise tenants well in advance of planned maintenance actions. Don't ignore this tip!

x. Consider doing service calls in the evening or at night. This will provide for less customer interference and will eliminate overtime for emergencies.

y. Hold a department party on "company time" twice a year. Make sure to clear it with the Commanding Officer.

E. Maintenance Management Reports

1. General. The primary source document for performance reports is the time card, on which is logged the amount of time each workman has spent on a particular job, and a particular labor class code. Other source documents include the material stub requisition, and the P&E estimates for time, materials, and costs. The reports utilized in the Maintenance Management System are designed to highlight specific areas in which the system is not working properly. One type focuses on the utilization of shop labor within the maintenance and utilities division, and permits you to acutally put an index on productive effort. The other focuses on individual job accomplishment by comparing estimated and actual times and costs for performance. This permits critical evaluation of your P&E effort, and on-the-job supervision — these, along with the standard cost report are illustrated and explained in Part 3. Other reports affecting Maintenance Management have been covered elsewhere as follows:

	Chapter
The Budget	13
Special Project Submissions	5
Long Range Maintenance Plan for Family Housing	9
Shopload Plan	6
Master and Work Center Schedules	6
Manpower Availability and Work Plan Summaries	6
Job Requirements and Status Chart	6
Job Order	6,13
Work Request	6

These reports give the Public Works Manager an opportunity to grade the performance of his maintenance management system. As noted earlier, each PWD is unique, and its problems are therefore different than others. It is, then, the responsibility of management to identify and make use of those reports which highlight shortcomings in the system. The next several pages review several of the reports which should be available at the typical activity.

2. Tabulated Report A, Feeder Report for the Maintenance and Utilities Control Report (Optional for small activities).

a. Instructions/References. NAVFAC MO-321, Chapter D; NAVCOMPT Manual, Volume III, Chapter 7.

b. Prepared by: Comptroller.

c. Frequency. Monthly, due 10 days after last day of the period.

d. Reviewed by (Distribution). Local. Maintenance Division Director, Utilities Division Director, Maintenance Control Division Director, Administration Division (Management Analysis Branch).

e. Source Data. Labor Job Time Card.

f. Information Displayed. For each work center; actual labor hours expended by labor class code (Figure 6-15) for the report month and fiscal year to date. Summaries for branches and divisions.

g. Purpose. Provides basic feeder data to the Maintenance/Utilities Labor Control Report (NAVFAC 9-11014/29/6-67). Can be used in preparation of manpower availability summary.

h. Analysis of. Used as detail for pinpointing and analyzing variances on labor control report; of no real analytical value of itself.

PUBLIC WORKS DEPARTMENT TABULATED REPORT A - FEEDER FOR MAINTENANCE/UTILITIES DIVISIONS LABOR CONTROL REPORT

Work Center	Labor Class Code	Actual Labor Hours-Month	Actual Labor Hours-Fiscal Year-To-Date
11	01	74.9	638.2
	02	33.4	397.7
	03	115.0	1438.9
	04	59.6	758.6
	05	218.7	1988.0
	06	175.3	1982.5
	07	788.2	8961.4
		1465.1	16122.3
	50	5.5	51.2
	51	152.0	1820.0
	52	79.6	752.1
	53	50.0	531.0
	54		
	55	178.0	1962.0
		1143.1	5116.3
		1968.2	21238.0
12	01	79.0	831.2
	02	16.0	194.6
	03	81.0	726.2
	04		215.6
	05	495.0	5318.1
	06	51.6	436.2
	07	115.0	1630.2
		837.6	9380.1
	50		31.2
	51	120.0	1432.0
	52	96.6	756.0
	53	45.0	421.8
	54		
	55	129.0	1536.0
		388.6	4177.0
		1226.2	13557.1
Branch (A) Summary	01	153.9	1469.4
	02	49.4	592.3
	03	196.0	2163.1
	04	59.6	968.2
	05	713.7	7306.1
	06	226.9	2378.7
	07	903.2	10596.6
		2302.7	25500.4
	50	5.5	82.4
	51	272.0	3252.0
	52	188.2	1508.1
	53	103.0	952.8
	54		
	55	307.0	3496.0
		871.7	9293.3
		3174.4	34795.1
Maintenance Division Summary	01	369.0	3241.0
	02	218.6	2002.1
	03	594.0	5634.0
	04	121.0	1437.2
	05	2131.6	25333.2
	06	1869.1	2070.4
	07	6915.2	73931.6
		12775.8	11668.9
	50	27.8	115.2
	51	634.5	7211.4
	52	231.2	1976.8
	53	189.5	1638.0
	54	160.0	1537.0
	55	1452.0	10536.2
		2685.1	30812.6
		15560.9	11748.1
Utilities Division Summary	01	79.0	833.2
	02	30.2	311.7
	03	104.6	1312.2
	04	29.8	347.2
	45	738.0	9334.0
		1279.3	13321.8
		7311.8	67519.2

LABOR CLASS CODES	DESCRIPTION
01	**Service Work** - All productive non-emergency work performed under emergency/service work authorization, which is 16 manhours or less.
02	**Emergency Work** - All labor required to correct or repair a condition caused by a breakdown or an emergency including all labor subsequently authorized on a Minor Work Authorization or Specific Job Orders as well as that portion authorized by an Emergency/Service Work Authorization.
03	**Preventive Maintenance Inspection (PMI)** - All labor expended by semi-skilled and skilled tradesmen while performing preventive maintenance inspection and service.
04	**Standing Job Orders - Not Estimated** - All productive labor that is authorized on a standing job order which has not been estimated.
05	**Standing Job Orders - Estimated** - All productive labor that is authorized on a standing job order which has been planned, estimated, and scheduled.
06	**Minor Work Authorization** - All productive labor authorized on a minor work authorization.
07	**Specific Job Orders** - All productive labor authorized on a specific job order.
40	**Rework** - All labor used in the correction of faulty work on the part of the Public Works Department, regardless of the code previously applied.
41	**Supervision** - All supervisory personnel, and that part of a leader's time spent on supervision.
42	**Shops Indirect** - Semi-skilled and skilled craftsmen not directly chargeable to productive work which includes the schedulers and shop planners; also, labor spent in *maintenance and repair of shop equipment and power tools;* also, time expended by non-graded Public Works personnel on material handling when such labor is not chargeable directly to a job. Labor expended by shops personnel in *cleaning up their work area,* excluding work of the regular janitorial force.
43	**Allowed Time** - All non-productive time expended on official business; waiting for material, tools, parts, equipment, transportation, etc.; administrative leave, excused tardiness and time loss because of inclement weather; time spent awaiting work assignment.
44	**General Office and Clerical** - Graded personnel who are on the roster of the Maintenance or Utilities Divisions but not those graded personnel assigned to the Maintenance or Utilities Divisions who are on the roster of the Administrative Division.
45	**Leave** - All approved absences for sick, annual, and military leave, holiday pay, terminal leave, jury duty and all other leave for which pay is received.

FIGURE 6-15
SUMMARY OF MAINTENANCE AND UTILITIES DIVISIONS LABOR CLASS CODES

3. Tabulated Report B, Completed Job Orders.

a. Instructions/References. NAVFAC MO-321, Chapter 10; NAVCOMPT Manual, Volume III, Chapter 7.

b. Prepared by. Comptroller.

c. Frequency. Usually bi-weekly, with summary information added to the monthly edition.

d. Reviewed by (Distribution). Director, Maintenance Division, Director, Utilities Division.

e. Source Data. Estimated job orders, labor job time cards, "stub" requisitions.

f. Information Displayed and Sort. Report compares actual and estimated labor hours, labor costs, and material costs, broken down by the work centers involved for each completed or cancelled job order. The monthly version also shows summaries for all completed job orders for each branch, the Maintenance Division, and the Utilities Division. The report separates EPS jobs from non-EPS jobs for statistical purposes.

g. Purpose. This report is designed to evaluate both planning and estimating and/or job execution by highlighting significant variances between estimates and actual costs for specific job orders. It is also used to highlight total job order variances which require specific follow-up action (variance report), and chronic variances attributable to a specific branch.

PUBLIC WORKS DEPARTMENT TABULATED REPORT B - COMPLETED JOB ORDERS

Trade Branch or Work Center	Job Order Number	Estimated Hours	Actual Hours	Estimated Labor Cost	Actual Labor Cost	Estimated Material Cost	Actual Material Cost	Estimated Total Cost	Actual Total Cost	Variation Total Cost
12	7212010	7	8.5	16	18.45	5	5.05	21	23.50	2.50
24	7212010	32	39.8	67	82.72	21	20.15	88	102.87	16.57
33	7212010	16	14.9	32	30.15	12	11.15	44	41.30	2.70
41	7212010	8	8.0	13	12.96			13	12.96	.04
		63	71.2	128	144.28	38	36.35	166	180.63	17.93
14	7242032	252	252.0	529	529.20	346	351.27	875	880.47	5.47
23	7242032	48	52.3	100	108.26	30	27.12	130	135.38	11.14
32	7242032	12	12.1	25	25.25	4	3.65	29	28.90	.60
42	7242032	188	188.3	305	305.09	7	30.83	312	335.92	23.92
		500	504.7	959	967.80	387	412.87	1346	1380.67	34.67
13	7272036	24	22.0	50	45.76	23	21.05	73	66.81	6.19
14	7272036	24	27.7	48	56.28	14	13.85	62	70.13	8.43
51	7272036	16	17.1	33	35.19	10	9.16	43	44.35	3.03
		64	66.8	131	137.23	47	44.06	175	181.29	9.17
12	7272062	265	283.5	548	586.85	187	172.25	735	759.10	53.60
33	7272062	79	74.3	161	150.75	65	59.95	226	210.70	15.30
41	7272062	61	110.1	125	225.72	30	49.33	155	275.05	120.05
		405	467.9	834	963.32	282	281.53	1116	1244.85	129.79
10	TRADE BRANCH A	780	758.2	1870	1819.68	1045	1078.73	2915	2898.41	84.05
20	TRADE BRANCH B	1650	1631.7	4290	4242.42	2580	2231.95	6870	6474.37	395.63
30	TRADE BRANCH C	1324	1280.0	3310	3200.00	1895	2017.51	5205	5217.51	232.51
40	TRADE BRANCH D	942	959.6	1885	1918.00	950	943.75	2835	2861.75	39.25
50	TRADE BRANCH E	631	652.0	1580	1630.00	870	891.15	2450	2521.15	71.15
	MAINT. DIV. SUMMARY	4696	4628.9	11355	11180.10	6470	6271.94	17825	17452.04	372.96
	UTIL. DIV. SUMMARY	631	652.0	1580	1630.00	870	891.15	2456	2521.15	71.15

NOTE: "cents" and decimal hours may be eliminated, if desired.

FIGURE 6-16
TABULATED REPORT B, COMPLETED JOB ORDERS

prepared on Form NAVFAC 11014/30 (6-67), Variances on Completed Job Orders, Figure 6-19, when the variances on Tabulated Report B meet the following criteria:

(1) On jobs totaling less than $1,000, a job variance of $100 or more should be investigated. Only that portion of the work accomplished by the Work Center(s) having a variance will be investigated.

(2) On jobs totaling more than $1,000 and less than $10,000, a job variance of 10% should be investigated. Only that portion of the work accomplished by the Work Center(s) having a variance of 10% and more than $100 will be investigated.

(3) On jobs totaling more than $10,000, a job variance of 5% should be investigated. Only that portion of the work accomplished by the Work Center(s) having a variance of 5% and more than $100 will be investigated.

b. Analysis. The analysis is to be used as a basis for conducting investigations to determine causes of investigation, it appears that a variance was caused by change in scope of job — check closer. It may be that the cause was poor planning or poor job description on the part of the Planners and Estimators. Conversely, check occasionally to be sure that "amendments" are not being issued to make reports "look good" — and cover up poor planning. If it appears that the variance (below estimate) was caused by loose estimating, check further. Maybe the estimate was good, but the shop has come up with an improved method. Then again, maybe the "good" performance was achieved by changes on the job, i.e., two coats of paint specified, but only one coat applied. Of course, if the variance is caused by poor planning or estimating, the Director of the Maintenance Control Division should take action, — closer supervision, additional training, etc. A variance (above estimate) may be caused by poor shop performance or a poorly qualified Planner and Estimator. The facts must be rooted out and corrective aciton taken accordingly. See Procedure Chart 9 (NAVFAC MO-321) for procedure, distribution, and disposition.

For Instructions on use of Form see NAVFAC P-321

NAVFAC 9-11014/30 (6-67)
Supersedes NAVDOCKS 2373

REPORT ON VARIATIONS ON COMPLETED JOB ORDERS

DATE: 14 AUG. 1967

JOB ORDER NO.	BRIEF DESCRIPTION OF JOB	ESTIMATE		ACTUAL		REASON FOR VARIATION AND ACTION TAKEN (If more space is needed use supplemental sheets)
		LABOR (Mh)	MAT'L ($)	LABOR (Mh)	MAT'L ($)	
1	2	3	4	5	6	7
7241875	Repair, Bldg. #14	1000	1000	1200	1190	Change in scope of job. Failed to request amendment. When old siding was removed evidence of termite infestation necessitated the removal of 250 sq. ft. of sheathing and studs instead of only replacement of 625 sq. ft. of sheathing
	WC 02 Carpenter Shop	250	250	300	400	

FIGURE 6-17
REPORT ON VARIATIONS ON COMPLETED JOB ORDERS (NAVFAC Form 9-11014/30)

Chapter 7.

b. Prepared by. Public Works Administration Division.

c. Frequency. Monthly — 5 days after receipt of "TAB A" report from Comptroller.

d. Reviewed by: Trade Branches, Maintenance and Utilities Division Directors, Administrative (Management Analysis), Director of Maintenance Control, Shops Engineer, APWO/PWO.

e. Source Data. "TAB A" Report, Manpower Availability Summary.

Also summaries for Maintenance and Utilities Divisions.

g. Purpose. The report measures productive and overhead effort of each trade branch in manhours and compares it with that same branches plan for labor use, as well as with acceptable percentages of distribution for each labor class code. A concise coverage of analyses of the report is presented on page 10-9 and 10-10 of NAVFAC MO-321. An important point which is made is that the "acceptable range" column should be used judiciously, since local standards and trends having more meaning. See Procedure Chart 10 (Appendix B, NAVFAC MO-321) for procedures or reporting of labor.

MAINTENANCE/UTILITIES LABOR CONTROL REPORT
NAVFAC 9-11014/29 (6-67)

FOR INSTRUCTIONS ON USE OF FORM SEE NAVFAC MO-321

1 ☒ MAINTENANCE DIVISION ☐ UTILITIES DIVISION

2 ☒ SUMMARY REPORT ☐ GRAND M. REPORT

3 U.S. NAVAL STATION, ANYWHERE

4 TOTAL PERSONNEL 328

5 PERIOD (From-To) 1-30 April 1966

1 LINE ITEM	2 LABOR CLASS CODE	B CONTROL ELEMENT	9 CURRENT MONTH MAN-HOURS a PLANNED	b ACTUAL	c VARIANCE	10 YEAR-TO-DATE MAN-HOURS a PLANNED	b ACTUAL	c VARIANCE	d % DIST.	11 ACCEPTABLE RANGE
	40	REAPR	0	0	0	0	0	0	0	0.3-0.6%
2	41	SUPERVISION	2350	2094	-256	26590	23470	-3120	4.5	6.7-7.6%
3	42	SHOP INDIRECT	1600	1532	-68	16750	16671	- 79	3.2	5-6%
4	43	ALLOWED TIME	1810	1303	-507	18585	16575	-2010	3.2	2-3%
5	44	GENERAL OFFICE & CLERICAL	704	671	-33	8244	7605	-639	1.5	1.5-2.5%
6	45	LEAVE	10640	10555	-85	68755	66923	-1832	12.9	14-18%
7										
8										
9		TOTAL INDIRECT AND OVERHEAD MAN-HOURS	17104	16155	-949	138924	131244	-7680	25.3	28-32%
10	01	SERVICE	6700	5937	-763	67990	62718	-5272	12.1	6-9%
11	02	EMERGENCY WORK	2900	2495	-405	30395	29157	-1238	5.6	1.5-2.5%
12	03	DYNAMIC EQUIPMENT INSPECTION EQUIPMENT	106	157	57	4110	3866	-244	0.7	1.5-3%
13	04	STANDING JOB ORDERS NOT ESTIMATED	2885	3110	225	37410	32401	-5008	6.2	
14	05	STANDING JOB ORDERS ESTIMATED	3500	3917	417	46750	41129	-5621	7.9	
15	06	MINOR WORK	5988	4649	-1339	66294	52995	-13299	10.2	
16	07	SPECIFIC JOB ORDERS	18551	14533	-4018	207683	165394	-42299	31.9	
17										
18										
19		TOTAL PRODUCTIVE MAN-HOURS	40624	34798	-5826	460492	387611	72981	74.1	68-72%
20		GRAND TOTAL MAN-HOURS	57728	50953	-6775	599566	518905	-80661		
21		PRODUCTIVE EFFORT (Line 19 ÷ Line 20)	70.4 %	68.3 %		76.8 %	74.7 %			68-72%
22		LABOR PERFORMANCE - EPS[1]		96 %			103 %			95-105%
23		LABOR PERFORMANCE - NON-EPS[2]		108 %			101 %			95-105%
24		PRODUCTIVE MAN-HOUR CONTROL (Line 12 + 13 + 15 + 16 ÷ Line 19)	69.3 %	66.8 %		70.5 %	67.9 %			60-65%
			28139	23256		324897	263384			

1 LINE 22 EPS $\frac{\text{EST HRS}}{\text{ACT HRS}}$ FOR SPECIFIC JOB ORDER

2 LINE 23 NON-EPS $\frac{\text{EST HRS}}{\text{ACT HRS}}$ FOR SPECIFIC JOB ORDERS

FIGURE 6-18
MAINTENANCE UTILITIES LABOR CONTROL REPORT (NAVFAC Form 9-11014/29)

a. Instructions/References. NAVEXOS P-5000 and NAVCOMPT Manual, Volumes 2 and 3.

b. Prepared by. Authorized Accounting Activity (Supply, Fiscal, or Comptroller) for all Navy Activities/Commands funded with other than 17-1804, 17-97-0700 and those appropriations administered by the Commandant of the Marine Corps. Applicable appropriations are 17X1319 RD7E, 17X4912 NIF and operating budget for modified industrial activities.

c. Reviewed by. NAVFACENGCOM HQ, EFD, Major Claimant, Commanding Officer, Comptroller, PWO.

d. Source Data. All cost data for facilities maintenance accumulated at the pertinent cost account or functional account level and assorted into cost categories.

f. Purpose. This is a report for higher authority. From it, claimants and NAVFAC can develop meaningful Navy-wide and total cost data to use as a basis for budgeting.

g. Management Analysis. Check for overall accuracy and compare costs with prior years. Report should reflect changes in maintenance emphasis for various categories of facility. Primarily utilized at the EFD to compare unit costs and to evaluate budget submissions. The accuracy of the data, therefore is dependent upon the accuracy of the inventory quantities reported.

NAVCOMPT FORM 2168 (REV. 5-66) (7000)
S/N-0104-706-0081

OPERATING BUDGET/EXPENSE REPORT
MAINTENANCE COST REPORT

FROM	TO	BUDGET	REPORT	FOR PERIOD ENDING
N. S., ANYWHERE		☐ DETAIL ☐ UPDATED PLAN	☐ DETAIL ☐ SUMMARY	
BUDGET FOR	BUDGET GRANTOR	APPROPRIATION DATA	COST CENTER	REPORTING FISCAL OFFICER (Signature, rank and date of submission

FUNC/ SUB-FUNC. CAT.	COST ACCOUNT	DESCRIPTION	WORK UNITS	MAN-HOURS		CUMULATIVE EXPENSES					
				MILITARY	CIVILIAN	MILITARY SERVICES	CIVILIAN LABOR	MATERIAL AND SUPPLIES	CONTRACTS	OTHER	TOTAL EXPENSES
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
M		MAINTENANCE REAL PROPERTY									
	7110	MINOR CONSTRUCTION	---								
	7160	ADMINISTRATION BLDGS.	KSF								
	71JO	COMMUNITY BLDG.	KSF								
	71KB	OTHER BUILDINGS	KSF								
	7260	OTHER WATERFRONT BLDGS. & FAC,	CPV								
	7310	ROADS AND STREETS	SY								
	7410	IMPROVED GROUNDS	AC								
	7430	SEMI-IMPROVED GROUNDS	AC								
	7520	FUELING FACILITIES	CPV								
	921B	CUSTODIAL SERVICE IN-HOUSE	SF								
	9220	INSECT AND RODENT CONTROL	MSF								
	9230	REFUSE AND GARBAGE DISPOSAL	CY								
	9280	DYNAMIC EQUIPMENT INSPECTION/ SERVICE	---								

FIGURE 6-19
MAINTENANCE COST REPORT
(Operating Budget/Expense Report)

b. Prepared by. Maintenance Control Division.

c. Frequency. Annual — due 15 March, except for Naval Reserve activities and Navy owned, contractor operated facilities used for research and development (see OPNAVINST 11010.34).

d. Reviewed by. Major claimant.

e. Source Data. Backlog of Maintenance and Repair (Suspense File). Information is generated by the Shore Facilities Inspection System (Inspectors Reports). Report is a summary of facility discrepancies identified and validated by an inspection report which will not be corrected as of 31 December.

f. Information Displayed and Sort. Unfunded facilities deficiencies (backlog) by type, as of end of fiscal year.

g. Purpose. To provide statements of facilities conditions to higher authority in order to assist claimant in allocating resources. To provide data to the CNO and the Office of the Secretary of Defense on the backlog of maintenance and repair work. This is the source of backup data for budget and special project requests. In recent years the importance of the Annual Inspection Summary has increased considerably. It is now the basic document used by the Major Claimant to identify his facility maintenance and repair requirements and to allocate resources to them. This makes it imperative that the document be accurate — that it have credibility. Without this, the claimant will be unable to rationally assess his Maintenance of Real Property (MRP) needs vis-a-vis his other funding responsibilities.

In addition, the CNO uses the AIS as the MRP input to his long range resource allocation planning process which ultimately results in the Five Year Defense Plan (FYDP). As outlined in OPNAVINST 11010.23, the Major Claimants are directed to assemble these inspection reports and annually forward them to the CNO in the following format:

a. All deficiencies must be grouped by Investment Category (IC). These are the same ICs used to group MCON this fashion the "advocate" for facility matters on the CNO staff (OP-44) is able to explain MRP deficiencies in increments that the operational Navy can relate to.

b. Deficiencies must also be evaluated to determine their importance. Those which have an adverse impact on the mission capability of the claimant's commands or those which have severe economic consequence if not corrected in the coming year are to be classified as items of NMAR (Non-deferable Maintenance and Repair) and should be indicated as such on any AIS submittal. Other less important, though legitimate discrepancies should also be submitted, but not as items of NMAR.

c. As annually directed by the CNO, AIS submittals must be accompanied by a written assessment outlining the consequences of the NMAR discrepancies, if not corrected in the coming year. These assessments are individually prepared for each investment category.

To date, OP-44 has been quite successful in using the information provided by the AIS to achieve an enhanced level of funding for MRP. A review of Figure 6-21 shows the plunge in "constant dollar" funding for MRP in the years between FY67 and FY76. Since then the trend is clearly upward. At projected funding levels, most NMAR should be corrected during the 1980s. Current emphasis is upon correction of large NMAR items via the Special Project process.

A final point. The success of this recent initiative is primarily based upon the assumption of a valid AIS and NMAR. Should these prove faulty, or "puffed up" in any way the entire program will lose credibility. Should this occur, severe funding reductions would be a logical next step. Its important, then, for the PWO to ensure his AIS is prepared not only promptly and correctly, but is also valid; listing only legitimate discrepancies and reasonable cost figures.

h. Analysis. Conditions of facilities compared by higher authority — reconcile with budget plans to ensure that priorities for maintenance expenditures align with reported backlogs by Investment Category.

i. Not Required for Family Housing.

TYPE A ANNUAL INSPECTION SUMMARY
UNCORRECTED FACILITIES DEFICIENCIES

OPNAV11010/4(3-77)S/N 0107-LF-110-1020

DO NOT exceed maximum number of characters assigned per field.
Additional instructions for completing this form are contained in OPNAVINST

REPORT SYMBOL OPNAV 11010-9

1. ACTIVITY *(Name and location)*	2. U.I.C. (B) 1-8	3. PERIOD ENDING (6) 9-14	4. PREPARED BY *(Name, autovon/commercial phone number)*	5. SHEET
NAVSTA PHEONIX, AR	N01234 00	01 03 77	Smith, Alfred R. 123-4567/(602) 765-4321	1 OF 3

6 DESCRIPTION	7 LINE NUMBER (A1)	8 FACILITY NUMBER (A10)	9 PROJECT NUMBER (B8)	10 RESP FUND SOURCE (A6)	11 CATEGORY CODE (B4)	12 I/C NO. (A1)	13 COST ACCT NO. (A6)	14 DATE LAST INSPECTED (A4)	15 DATE DEF FIRST REPORTED (A4)	16 D/C (A1)	17 COST ESTIMATE (B10)	18 DATE OF LAST UP-DATE (A4)	19 TYPE DEFICIENCY (A1)
	15 – 18	19 – 28	29 – 36	37 – 40	41 – 44	45	46 – 51	52 – 55	56 – 59	60	61 – 70	71 – 74	75
Repairs to Taxiway	0001	12L14		1804	11210	01	7330	1176	0674	1	21,000	1276	
Repairs - Structural ($23,000), Mech.	0002	125		1804	21105	06	71U0	1274	1274	1	44,000	0277	
($14,000), Elect. ($7,000)													
Repairs to Roof ($11,000), Painting	0003	201		1804	44110	12	7140	0675	0675	1	19,000	0277	
($6,000), Mech. ($21,000)													
(Split Funded Cost)	0004	201		4912	44110	12	7140	0675	0675	1	19,000	0277	
Repair Station Roads	0005	Roads		1804	85110	18	7310	0177	1173	1	14,000	0177	
Repairs to Pier Piling	0006	Pier 2	R12-74	1804	15120	03	7220	1276	0374	2	1,340,000	1276	
Repairs to Quaywall	0007	Quaywall	R3-75	1804	15420	03	7230	0575	0575	2	272,000	0675	
Repairs to A/C System	0008	56	R6-72	1804	61010	14	7160	1076	1171	2	72,000	1076	
Replace Cable House	0009	23		1804	13110	02	71K0	0476	0476	3	14,000	0576	
Replace Fuel Pier	0010	2	P-120	1205	15140	03	7220	0475	0173	4	4,100,000	0675	
Replace Garage	0011	133	C3-76	1804	72340	15	7190	0375	0175	4	62,000	0675	
Replace BEQ Detachment	0012	172	P-117	1205	72510	15	7150	0375	0175	4	125,000	0675	
Demolish Building	0013	93		1804	74070	16	7840	0274	0274	5	20,000	0277	
Demolish Hangar	0014	546	R4-70	1804	21120	01	7840	0969	0967	6	140,000	0277	

FIGURE 6-20
TYPE A ANNUAL INSPECTION SUMMARY

M R P FUNDING LEVELS
(MILLIONS OF $)

FY	CURRENT $	CONSTANT FY 80 $
67	161.8	500.4
68	155.2	461.5
69	166.9	465.9
70	160.8	410.6
71	152.6	361.1
72	115.8	257.5
73	172.5	357.0
74	200.7	385.5
75	272.4	438.4
76	264.1	369.7

77	296.6	360.9
78	335.9	377.4
79	387.2	408.6
80	447.7	447.7
81		480.1
82		511.5
83	PROJECTED	541.5
84		570.7

FIGURE 6-21
FUNDING FOR MAINTENANCE OF REAL PROPERTY

CHAPTER 7
UTILITIES MANAGEMENT

All aspects of a shore activity's operations require dependable, effective and economical utilities support. Ironically, this is one function which for years had received little or no command attention, and not much more from the average PWO. And yet this is an area with great potential for savings through an aggressive conservation program. The cost of UTILITIES and ENERGY are so high now, and in the forseeable future, there is no choice but to have an agressive campaign against user waste and also to ensure the maximum efficiency of the utilities systems which we operate.

This chapter provides information and guidance concerning the management, operation and maintenance of public utilities at Naval shore activities. Included in the text are references to directives and instructions which are related to utilities management.

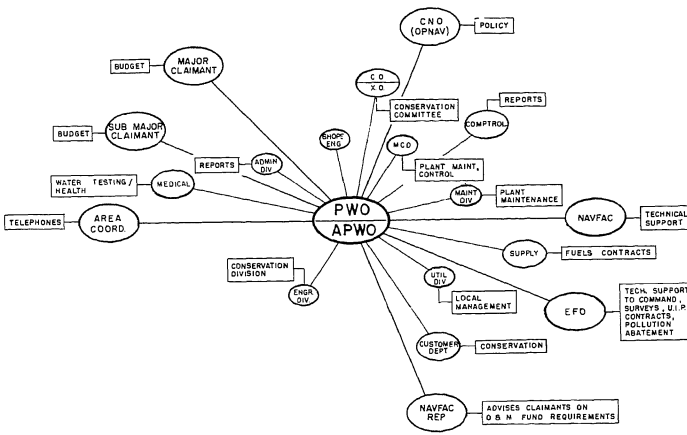


FIGURE 7-1
THE PLAYERS IN UTILITIES MANAGEMENT

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2. OPNAVINST 4100.5A, *Energy Resource Management*
3. OPNAVINST 11300.3, Subj: *Utility Services; sale of*
4. NAVCOMPT Manual, Volume 3, Chapter 5, *Procedure for Obtaining Authority to Sell Utility Services*
5. NAVCOMPT Manual, Volume 3, *Public Works Cost Accounting and Reporting Systems*
6. BUMEDINST 6240.3C, Subj: *Standards of Potable Water*
7. NAVFACINST 4100.4A, Subj: *Electric Resistance Space & Domestic Water Heating; Limited use of*
8. NAVFACINST 4100.2A, Subj: *Design Criteria Guidance for Energy Conservation*
9. NAVFACINST 4100.6, Subj: *Shore Facilities Energy Conservation Survey Program*
10. NAVFACINST 11300.7D, Subj: *Minimum Operator Attendance for Boiler Plants Utilizing Fully Automatic and Semi-automatic Controls*
11. NAVFACINST 11300.27, Subj: *Environmental Quality Boiler Tune Up Program, Stationary Heating and Power Plant Operations*
12. NAVFACINST 11300.28, Subj: *Boiler Efficiency Improvement Program*
13. NAVFACINST 11310.2D, Subj: *Mobile Utilities Support Equipment (MUSE) Program*
14. NAVFACINST 11310.19A, Subj: *Utilities Conservation Program; Requirements of*
15. NAVFACINST 11310.41, Subj: *Utilities Improvement Program; Establishment of*
16. NAVFAC P-68, *Contract Administration*
17. NAVFAC P-96, *Utilities Management*
18. NAVFAC P-318, *Organization and Functions for Public Works Departments*
19. OPNAVINST 4100.6, *Energy Source Selection and Criteria for Shore Facilities*

Program are:

A. To furnish utilities services as required to accomplish the mission assigned and operate upon policies insuring the high quality and proper use of such services.

B. To provide management and engineering services to insure the most effective and efficient operation of utilities to conserve energy and financial resources.

C. To maintain in the most economical manner all active real property to a standard which will prevent deterioration beyond normal wear and tear, and inactive facilities to a standard commensurate with reactivation requirements.

D. To provide timely planning and programming for the expansion and/or replacement of utilities systems, or parts thereof, and to accomplish alterations, additions, and other modifications to existing facilities, and minor new construction, as necessary to provide essential facilities for changes in mission or other circumstances which preclude programming under normal construction budget procedures.

7.1.2 Policies

A. Positive programs for the conservation of utilities services are to be initiated and continued to insure that the usage does not exceed the actual requirements or imposed limits.

B. Utilities services are to be purchased from existing commercial systems where economically possible in lieu of construction or expansion of Department of Defense installations. Maximum use is to be made, on a cross-servicing basis, of all government-owned or operated utilities.

C. Utility maintenance programs, consistent with accepted engineering standards and practices, are to be established. Maintenance practices must receive continued analysis with a view toward accomplishment by the most economical means. This work is to be programmed to permit orderly and economical accomplishment. Standby, emergency or alternate facilities are to be installed and maintained only as necessary to meet departmental operational requirements. Heating plants, cold storage and refrigeration plants, and pumping plants are to be automatically controlled wherever practical.

D. Supervisory improvement programs directed toward improved management and supervision of maintenance and utilities operations activities, are to be initiated and/or continued. Particular emphasis must be placed on the effective use of budget, cost, operating, property and fiscal information at all levels.

E. The activities of the installation will be concentrated in a minimum number of facilities to economize on maintenance and conserve utilities. Periodic review of the activities of the installation are to be made to insure that only the minimum number of facilities required are being utilized.

F. Utilities Systems shall be maintained and operated in accordance with applicable environmental regulations - see Chapter 12.

following:

A. Telephone systems.

B. Electrical power supply and distribution systems.

C. Water supply treatment and distribution systems including systems for fire protection.

D. Heating systems, steam, hot water and others over 750,000 BTU/hr.

E. Sewage collection, treatment and disposal facilities.

F. Air conditioning equipment and plants with a capacity of five tons and over.

G. Ice manufacturing equipment and cold storage plants operated by Public Works Department.

H. Exterior separate alarm systems - both local and central reporting types.

I. Gas generating plants, storage facilities and transmission lines.

J. Compressed air plants and systems.

K. Miscellaneous utilities, including central dehumidification and hydraulic systems, acetylene and oxygen generating plants.

Utility systems are identified by the 800 Class of Navy Category Codes. Refer to Chapter 3 for discussion of the Category Coding system.

PART 2 - RESPONSIBILITIES, ORGANIZATION, AND STAFFING

7.2.1 Responsibilities

A. Activity Line Responsibilities:

1. The Commanding Officer. The Commanding Officer is responsible for the proper management of funds allocated for the operation and maintenance of utilities according to the regulations prescribed by his chain of command.

2. Public Works Officer. The Public Works Officer is responsible to the Commanding Officer for the organization, administration and supervision of the Public Works Department, which includes the responsibility for the operation, distribution, maintenance and repair of public utilities.

Specifically the PWO is responsible for providng adequate utilities services at the lowest cost commensurate with the mission fulfillment in the quantities, and at the time and place required, to assure activity capability in meeting mission requirements.

3. Assistant Public Works Officer. The Assistant Public Works Officer is responsible to the Public Works

the several organizational components of the department. He is specifically responsible for the direction of planning activities and subsequent follow-up. He also exercises control over performance and technical and management guidance to subordinate supervisors.

At smaller activities, the Assistant Public Works Officer is responsible for providing direct supervision for day-to-day operation of, and coordination of all matters pertaining to, the operations of the maintenance, utilities and transportation divisions. At larger activities, the latter responsibilities are delegated by the Assistant Public Works Officer to the Shops Engineer, who is held responsible for providing required day-to-day supervision over the three operating divisions.

4. **Shops Engineer.** The Shops Engineer, or his counterpart, is responsible to the Assistant Public Works Officer for the direction and coordination of all matters pertaining to the operations of the maintenance, utilities and transportation divisions and for maintaining liaison with other activity departments on problems relating to maintenance, utilities and transportation. His duties include the following:

a. The determination of areas of excessive direct or overhead labor cost, and the providing of direction of corrective measures.

b. The verification of progress on specific jobs.

c. The comparison of the available labor with apparent or anticipated work loads, and the recommendation of work forces as required.

d. The review of work methods to assure the adoption of the most economical use of equipment and manpower.

5. **Utilities Division Director.** The Utilities Division Director (UDD) or his counterpart, is responsible to the Assistant Public Works Officer/Shops Engineer for the operation and maintenance of all activity utilities plants and distribution systems. His is the key position in the overall utilities operation. He is responsible for providing the required utilities services, where and when they are wanted, and at the lowest practical cost to the government. Specifically, his duties include the following:

a. The operation of utility systems at target conditions, in cooperation with the Utilities Engineer, and the monitoring of plant efficiency and performance.

b. The direction and supervision of all operator and preventive maintenance inspections on utilities equipment and systems when performed by utilities personnel.

c. The provision of technical advice and recommendations to the Assistant Public Works Officer on the planning and scope of maintenance to be performed on utilities plants and systems.

d. In cooperation with the Utilities Engineer, MCDD and MDD, the scheduling of equipment shutdowns

f. The organization of the division for the effective accomplishment of assigned responsibilities.

6. **Maintenance Division Director.** The Maintenance Division Director (MDD), or his counterpart, is responsible to the Assistant Public Works Officer/Shop Engineer for the maintenance of all public utilities, except when preventive maintenance is accomplished by utilities personnel. When authorized, his responsibility includes the repair, alteration and new construction incident to maintenance, except work which may be done by private contract, and service work performed by utilities operators/inspectors. Maintenance division personnel are responsible for all other maintenance required on utilities equipment and systems as determined and approved by the Utilities Division Director, and authorized in accordance with the pertinent provisions contained in NAVFAC MO-321. The Maitenance Division Director will retain responsibility for the maintenance of the facilities housing utilities, but he shall coordinate and arrange all projected work with the Utilities Division Director before proceeding with any work in the utilities areas.

B. Activity Staff Responsibilities:

1. **Utilities Engineer.** The Utilities Engineer or his counterpart, is responsible to the Assistant Public Works Officer for providing continuous technical assitance in the operation, maintenance utilization and conservation of utilities. He serves as an advisor and expert consultant on utilities matters. His functions involve the application of engineering research techniques in the management of utilities. His major goals are to increase production efficiency, to reduce distribution losses, to eliminate usage waste and to procure utilities at a minimum cost. His position may be established as a staff assistant to the PWO or APWO or to the UDD. He may, however, be assigned to the Engineering Division under its director.

He must research all aspects of utilities system, including metering and measurement, testing, operating methods, utilities plant maintenance programs, distribution characteristics and consumer usage requirements. This applies to electricity, steam, heating, air conditioning, water supply, sewage, wire communication, compressed ir, volatile liquids and gas systems. Application of this research to practical utilities management is made through his findings which provide information and guidance to operation and maintenance personnel. He accomplishes this as a consultant to the Assistant Public Works Officer, Shops Engineer, the Utilities Division Director, the Maintenance Control Division Director and other personnel concerned in the planning, organizing, directing and controlling of the utilities system. The Utilities Engineer's major duties and responsibilities include:

a. Developing utilities systems plans, programs and procedures.

b. Planning and pursuing a progressive utilities (Energy) conservation program at the activity.

c. Developing the required production and usage targets for the economical operation of utility systems

e. Exercising continuous interest concerning the quality of the service provided.

f. Performing technical and economic evaluation of the utilities service requirements, and developing information essential to long-range planning for load growth, system flexibility and proper equipment selection.

g. Assisting the UDD, the MCDD and the MDD in developing utilities emergency plans and developing operational procedures for casualty conditions.

h. Participating in the preparation and analysis of utilities management reports.

For complete discussion of the Utilities Engineer's duties, refer to NAVFAC P-96.

2. **Maintenance Control Division Director.** The Maintenance Control Division (MCDD) is responsible to the Assistant Public Works Officer for planning the maintenance workload program, and for screening and classifying all work requests prior to their submission to the maintenance shops for accomplishment. For a complete statement of his duties, see NAVFAC P-318 and/or Chapter 2. With respect to public utilities, his primary duty is to plan for and schedule the inspection on all utilities systems and facilities, in conjunction with the Utilities Engineer and the UDD.

3. **Engineering Division Director.** The Engineering Division Director is responsible to the Assistant Public Works Officer for utilities matters pertaining to engineering studies normally under or coordinated with the Utilities Engineer, preliminary designs and estimates for special repair and improvement projects, and engineering designs, including the development of plans and specifications.

C. **EFD Responsibilities.** The EFD's acting as extensions of NAVFAC, provide middle management for all utilities programs. They are responsible for directing the implementation of programs developed at the NAVFAC level, and for providing assistance and direction to the activity as required for the continuance of these programs. This assistance is provided in:

1. Planning to meet facility requirements.
2. Programming to improve utilization, operations and maintenance.
3. Procurement and sale of utilities services.
4. Technical analyses and counsel.
5. Application of utility cost accounting procedures.
6. Establishment of proper information flow, including logs and reports.
7. Preparation and use of management reports.
9. Selection of the corrective action most applicable to the problem at hand.

D. **Commander, NAVFAC Responsibilities.** The Commander, NAVFAC, is the technical advisor to the Chief of Naval Operations for utilities management, and is responsible for ensuring that public utilities at all Naval activities are properly planned, managed and maintained. This responsibility includes establishing oprating and maintenance standards and procedures pertinent to utilities programs, and for developing management reports and technical guides.

7.2.2 Organization:

A. The Utilities Division is basically a production or operating element of the Public Works Department. The organizational structure of the Division depends upon the diversity of the utility sevices provided, and the extent and complexity of the systems operated.

B. Typical organizational structures for large and small Public Works Departments are included in Chapter 2. Additional details may be found in NAVFAC P-318.

7.2.3 Staffing:

A. The personnel staffing of the Utilities Division are predominately Wage System, or blue collar employees. Normally, the only classified or general schedule employees assigned to the Division would be clerical and stenographic personnel.

B. Criteria for staffing the Division are contained in the following directives:

1. NAVFAC P-318
2. NAVFACINST 11300.7

PART 3 - UTILITY SERVICES

7.3.1 Background. Management of the operational apsects of your activity's utility systems should be directed toward achieving maximum efficiency and economy in the use of the existing productive and distribution equipment, manpower, and materials in order to meet current mission requirements. In an environment of increasing consumer requirements, spiraling costs, aging plant facilities, and decreasing or level funding, you will find effective management both challenging and demanding of your management talents.

In this section, particular emphasis is directed to the management of steam, electricity, and water - the major utility services. The reason for this emphasis is that collectively, they are estimated to account for approximately 75% of the total expenditures of utility services.

7.3.2 Determination of Requirements. Determine your activity's requirements for the various utility services by translating the activity's mission requirements into common planning terms, such as:

Population to be served.

Pounds of steam.
Kilowatthours of electricity.
Gallons of water.

Refer to NAVFAC P-96 and MO-303 for more detailed procedures and engineering data.

Coincident with determining requirements for utility services, you should initiate engineering and economic studies to determine the most economical and dependable means of fulfilling the requirements. Unquestionably, this analysis should be a joint venture your staff and the utilities engineering staff of the cognizant EFD.

7.3.3 Provision of Services. The utility services your activity needs to fulfill its current mission may be provided by: local production or processing; procurement by contract; or, a combination of the two methods. Selection of a method must not decrease the miliatry effectiveness of your activity nor result in higher cost. At some shore activities, the method of provisioning has been pretty well cast in concrete and you, as PWO, will have little alternative but to accept it. Further, the funding climate and pollution abatement regulations may restrict your selection of a course of action. In such cases, you must direct your effort toward *better* and *more* efficient management of the existing systems.

Since local conditions are not static, you must continuously update the planning data. Load or demand requirements change in response to changed mission requirements, new types of equipment, the acquisition of new facilities, or alteration and improvement of existing facilities, as well as other factors.

A. Contracting for Utility Services is the responsibility of the cognizant EFD. To the Commanding Officer of the EFD is delegated the authority to award, prepare and execute contracts for all types of utility services, subject to the provisions of ASPR and NAVFAC P-68. Although most contracts are negotiated within the structure of existing, approved tariff schedules, competitive procureent is required whenever practicable.

B. Review of Services and Requirements is legally the responsibility of the EFD, and only the EFD can modify or terminate a contract. However, as PWO, you have a vested interest in the services that are being received and are responsible for the verification of service and the amounts received; verification of bills should be authorized specifically by the EFD. Accordingly, you would ensure that your staff (particularly the UDD) continuously observe and analyze the contractor's performance, and reevaluate your activity's requirements. Any unsatisfactory or questionable performance by the contractor should be promptly reported to the EFD. Similarly, the EFD should be advised of any significant changes in requirements.

C. Contract Provisions describe the terms of the contract. The General Provisions define such factors as the billing frequency and the applicable rate schedule. The specifications for the service, such as quality, quantity, point of delivery, etc., are defined in the Technical Provisions. Any unusual requirements, such as a termination liability or facility charges are contained in the Special Provisions.

contracts. As matter of practice, all utility bills should be reviewed and verified by the UDD prior to certification for payment.

As a result of his review of the billings, the UDD, within the limit of his authority, should initiate necessary corrective and conservation measures; and recommend to you those measures which require authorization by higher authority.

7.3.4 Rate Schedules. Rate schedules, whether applicable to electricity, water or another utility service, have several similar or standard billing charges. In addition, most of the utility rate schedules contain special charges for features or characteristics which are peculiar to the specific service. Let's discuss the standard charges and some of the special charges in the context that you and your UDD should be alert to ways to save money by adjusting or reducing consumption or demand for the services.

A. Standard charges usually are of two types or levels of charge: Flat Rate and Quantity.

1. Flat rate or minimum charge regardless of quantity of service used, if any. An example of this is the monthly charge for the telephone line in your quarters; you are billed a fixed cost if you make one or forty local calls during the month.

2. Quantitative charges are based upon MKWH or MGals consumed or processed. Freqently the cost for this charge will eclipse the flat rate or minimum charge.

B. Special charges vary from service to service, but can represent a significant portion of a utility bill.

1. Electricity is usually the most costly service. There are two special charges which should be continuously monitored: Billing Demand and Power Factor. Both of these charges are "penalty" assessments since they may be adjusted or reduced by effective management.

a. Billing Demand is based upon the maximum demand or the rate at which the electricity is used. It is measured in kilowatts. An activity's demand may be reduced, for example, by scheduling of heavy industrial loads. Refer to Paragraph 7.4.3 for more details. Most significant is the fact that a demand charge not only affects the billing for a specific month, it may also affect the cost for eleven (11) following months since rate schedules frequently average the *current* month's demand with the *highest* demand recorded in the preceding eleven (11) months.

b. Power Factor is the ratio of the "usable power" to the "total power" delivered by the utility company. It is a measure of the efficiency of your distribution system and is expressed as a decimal. When your PF is below a pre-determined level (usually 0.85), the company assesses a penalty charge. Several methods for improving your activity's power factor are discussed in Part 4, of this Chapter.

2. Natural Gas rate schedules are usually formulated on the factor of *continuity* of service: Interruptible, Firm, and Preferential. Interruptible service is

supply. If your activity is receiving both interruptible and firm levels of service, you should ensure that the firm service (which may be 40-50 percent higher in cost than Interruptible) is provided only to family housing, troop housing, the dispensary or hospital, and other critical uses. Those facilities on interruptible service should be provided with an alternate fuel source, or secured during periods of interruption of serivce. OSD has directed that activities burning oil maintain a 30-day storage capability based upon the coldest 30-Day requirement. NAVFAC design criteria are being changed accordingly. Reference should also be made to OPNAVINST 4100.6.

3. **Telephone** special costs which merit continuing scrutiny include extra equipment rental for handsets and key and any Wide Area Telephone Service better known as WATS) circuits. These circuits provide an activity with the exclusive use of circuits between areas with high-density voice traffic. Costs for the circuits are high, so the traffic volume must be tabulated and reviewed periodically to ensure that the cost is justified by the use of the circuits. Effective Maintenance & Management practices are provided in NAVFAC Instruction 2300.2B and NAVFAC Manual MO 203.

7.3.5 Sale of Utility Services

A. **The Secretary of the Navy** is authorized by law to sell to purchasers in the *immediate* vicinity of naval activities, certain utilities and related services when not available from private or public sources, and when the sales would be in the public interest.

B. **Navy Policy** is that private parties (including municipalities and public institutions), should obtain utility services from local private or public sources. The Navy will furnish such services *only* in cases of extreme urgency involving national defense or public health and safety, and then, on a purely temporary basis. (See NAVCOMPT Manual 035875).

C. **The Commander, NAVFAC** has been delegated authority by SECNAV to approve the sale of utility services to private parties, establish the rates to be charged, and determine the terms and conditions of the sale. Procedures for requesting authority for the sale of services are prescribed in NAVCOMPT Manual, Volume 3, and in OPNAVINST 11300.3.

D. **The Commanding Officer** of a shore activity, or his designated representative has been delegated the authority by the Commander, NAVFAC to award, prepare, and execute contracts for the select utility services when prior approval has been received from NAVFAC. Circumstances surrounding the sale of utility services should be reviewed at least annually with a view to discontinuing such service at the earliest practical date.

PART 4 - UTILITY OPERATIONS

7.4.1 Background. Strong management is necessary in the operations of utilities as this aspect of utilities program accounts for about 80% of the total utilities expenditures. Attention must be directed toward the basic objective of management must insure that this objective is attained with reliability. Achievement of the objective is dependent upon several considerations.

A. **System Development.** Continuous review, analysis and programming to assure that the systems required are available when and where needed. This may include backup or emergency equipment where applicable.

B. **Operations.** Continuing actions which assure that the required utilities services are available when and where needed.

C. **Inspection and Maintenance.** Repetitive actions which assure that the systems retain their capability to provide the required services.

It is estimated that improved operations can account for about one-half of the potential Navy-wide, short-term utilities savings (exclusive of equipment charges or replacements). The basis for these improvements is better utilities management at all levels of supervision. This implies stricter control of the operational phases of utilities production and distribution. The following section discusses some of the aspects of the major utilities operations which require continuing observation. As PWO, you should be aware of this consideration; however, your UDD should "live" with them and frequently advise you as to their status and effectiveness.

7.4.2 Systems Operations

A. **Steam** is almost universally required for domestic, industrial, shipboard, or utilities production usages. Management of this utility, requires the control of four major functions; equipment scheduling, equipment operation, fuel utilization, and distribution system operation. Refer to NAVFAC-96, MO-305, and MO-209.

1. **Equipment Scheduling** involves balancing the operation of generation equipment with the load to insure the use of each piece of equipment within its most efficient operating range. Each unit has a normal operating range with which it is most efficient; outside of this range, operation usually decreases efficiency and economy of operations.

To obtain a sound basis for planning operations, the UDD should develop and maintain hourly minimum and maximum demand curves as a normal part of the daily operating procedure. Then using this data, he can develop typical seasonal demand curves.

2. **Equipment Operation** schedules should be based upon the demand curves and the selection of the most efficient equipment combination. Equipment selection requires evaluation of banking and start-up costs, unit costs, multi-unit operations, and other costs. You should require the UDD to control this function by monitoring, on a daily basis, the actual loading factor in relation to the planned loading factor range.

Navy policy encourages, wherever practical, the installation of automatic combustion controls to (1) reduce costs by decreasing manpower and fuel requirements; (2)

11300.7.

3. Fuel Selection dictates use of that which is available and is the most economical fuel, all cost considered. Although the primary fuel is selected at the time the plant is designed, subsequent changes in fuel costs, fuel availability and legal requirements (pollution control) may require replacing or supplementing the primary fuel with another fuel. The Navy policy is to provide a dual-fuel burning capability wherever economically, or operationally appropriate. The selection of fuel is becoming a critical item to insure continuity of operations.

Since fuel costs, Navy-wide, represent 45% or more of the cost of steam services, you and your UDD should be alert to the advantages of using different fuels to reduce operating costs. However, the fundamental repsonsibiity for selection rests with NAVFAC. Accordingly, any proposals for fuel conversions require their approval and must conform to guidance promulgated by OPNAVINST 4100.6.

4. Distribution System Operation should be concerned primarily with minimizing line losses between the point of generation to the points of usage. These operating losses can be reduced and controlled by periodic checks or preventive maintenance inpsections. This is a good area for management attention. Refer to Paragraph 7.4.3 and Section 5 for additional discussion of conversion and maintenance procedures.

B. Electricity is the major utility at most shore activities. Although many activities buy all the electricity to meet their requirements, there are a number of activities that are equipped to produce all or a part of their electricity needs. At activities generating part or all of their electricity needs, management of the electrical system requires planning and control of four primary elements; minimizing of peak demands, equipment scheduling, equipment operation, and distribution system operation. At activities purchasing all of their electricity, only the first and last elements require planning and controlling. Refer to P-96, MO-304 and MO-201.

1. Minimizing of Peak Demands is necessary to reduce the cost of purchase and/or produced electricity. Of concern are both the quantity of electricity used and the extent and duration of the peak loads. The effect upon purchased electricity cost is caused by the relationship between the peaks and demand rates. In producing electricity, the effect is similar because satisfying peaks usually requires additional manpower and the use of lower efficiency equipment.

The UDD should be particularly alert to all possibilities for reducing peak load by shifting and rescheduling loads which are major contributing factors. Both volume and peak demands should be plotted regularly to provide visual observation of changing patterns and practices in electrical consumption. He should work closely to the peak load, to identify loads which could be rescheduled to shift the demand to other times when the loads can be absorbed more economically. The subject of usage management is discussed in Paragraph 7.4.3.

2. Equipment Scheduling involves determination of how much electricity should be purchased, how much should

levels.

Generate-or-buy decisions should be based upon projections of volume and peak demands and comparision of estimated purchase costs with incremental generating costs. To obtain a sound basis for planning operations, the UDD should develop cost curves for each generating unit, and hourly maximum and minimum demand curves.

OSD has issued new criteria for total energy planning to assure consideration of these system in all large new facilities and in major rehabilitation projects. Where economically sound, these systems will be required.

3. Equipment Operation schedules, with respect to the portion of the demand to be satisfied through local generation, should be developed which compare generation capabilities with generation requriements so as to obtain the most economical overall purchase-generation plan. Generator schedule should be controlled similar to that for steam systems operation.

4. Distribution System Operation should be concerned primarily with minimizing losses and detecting and correcting defects in operations. Most losses occur in the lines, transformers, and other equipment, and may be corrected or minimized by PW personnel.

(1) Periodically check lines to assure that losses are not excessive.

(2) Check the voltage at selected points to assure that the systems and equipment are not being jeopardized by excessively low voltage.

(3) Transformer losses should be minimized by keeping the transformers loaded at or near full-load and reduce penalty costs.

(4) Check power factor regularly to determine if improvements are needed to improve efficiency and reduce penalty costs.

C. Water requirements include domestic industrial, and fire protection demands. Management of water operations requires comprehensive planning and control in four principal areas: water supply, pump equipment selection and operations; water treatment; and water distribution.

1. Water Supply planning and control is primary responsibility of the UDD. He must assure that an adequate and suitable water supply is available as economically as possible, to meet your requirements. Further, water demand should be monitored and projected for planning purposes. Water usage and peak demand must be charted, for daily and long periods, so as to identify seasonal patterns of consumption. If pumping capacity is plotted on the same chart, you can compare existing capacity with requirements. Unit cost curves should be developed for each pumping installation and other water source. By comparing estimated incremental costs with estimated purchase costs, a decision should be made as to quantity of water to be produced and

2. Pump Equipment Selection and Operation must be based upon predicted production requirements and assuring the lowest overall pumping costs. Most pumps are of the centrifugal type, which operate most efficiently at designated load and capacity conditions. Each pump should be checked under various operating conditions; if the efficiency is low, the UDD should be alert to changes in operating conditions which may permit more efficient operations.

3. Water Treatment Control should be continuous. Analysis should be made frequently enough to note any changes in water quality and increased use of treatment supplies. Treatment may be satisfactory in quality and still offer possible savings in cost of treatment. Water quality standards are prescribed in BUMEDINST 6240.3. Treatment procedures should be compatible with NAVFAC MO-210.

4. Water Distribution Control requires assuring that adequate pressures are maintained and losses are minimized. The UDD should ensure that the system is tested periodically to detect defects and possible waste. He must be alert to the potential for savings by determining the cause of every break in mains and making engineering investigations to ascertain proper corrective measures if breaks occur too frequently.

D. Other Utility System operations, although representing a less significant portion of your expenditures for utility services, require a proportionate share of management attention and control. Requirements must be predetermined, equipment selected to meet demands economically and effectively, usage and peak demand monitored and projected for planning purposes, and unit cost data developed as basis for determining the most economical and reliable source for providng the necessary services.

Figure 7-2 lists NAVFAC Maintenance and Operations (MO) series of publications which should be employed in planning, programming, and maintaining and inspecting the public utilities of shore activities.

E. Safety. Safety of personnel and equipment is your responsibility as the PWO. OSHA requirements have been declared as applicable to federal activities and compliance is under review at the OSD level. Safety of equipment can be accomplished through preventive maintenance inspections, boiler inspection, cathodic protection, relay coordination studies, breaker inspection and sound maintenance practices. Lost time due to equipment casualties or personnel injuries can disrupt the ability of the PWD to meet its prime objective to supply the necessary utility services in the most cost effective manner.

7.4.3 Conservation:

A. Background. Conservation is concerned with how productively or effectively utility services are used. Succinctly, "how much of the utilities are wasted?" The need for conservation of *all* utilities becomes more important with each passing day. Utility consumption and costs continue to increase at inordinate rates. Unnecessary utility expenses represent dollars that are completely wasted, which, under energy have caused profound changes in both Navy utilities operations and the way of life for almost every one in the industrial world. In May 1978, CNO issued OPNAVINST 4100.5A which provided specific policy, goals, objectives, and assigned responsibilities for the management of energy resources, goals for shore facilities are by FY 1985 (measured relative to 1975):

Existing Facilities 20%
New Facilities 45%

B. Energy Conservation Program

1. The decreasing availability of certain fuels, the constraints on polluting the environment and the increasing costs of utilities services have reached the point where it warrants the personal attention of every Commanding Officer and every Public Works Officer. To assist the CO and PWO in the technical aspects of energy conservation, it may become necessary to assign the Energy Conservation Engineer functions as a staff effort.

2. There are two board areas of potential saving: losses during generation and/or distribution of utilities and improvement of energy utilization. The conservation program is structured to be accomplished by two means: an in-house program and EFD support. When properly functioning, the conservation program can achieve and exceed the energy reduction goal.

a. Activity Program. To be effective the program must originate at the top level of management, the Commanding Officer, and extend down through all echelons to every individual at the activity. The PWO should assist the Commanding Officer to establish a Conservation Committee. The UDD should review operating conditions and procedures of all utilities systems to detect losses; where total system analysis is needed, you should request the cognizant EFD to conduct a Utilities Systems Analysis in accordance with NAVFAC MO-304.

b. EFD Support. In order to implement the Energy Conservation Program at the shore activities, NAVFAC has established a number of programs by which the EFDs can support the activities to conserve energy. The major programs are (1) the Energy Conservation Survey Program, (2) the Energy Conservation Investment Program (MCON), (3) the Utilites Improvement Program (UIP) and (4) the Boiler Programs (Boiler Tune-Up-BTU Program and Boiler Efficiency Program Improvement - BEIP).

(1) The Energy Conservation Survey Program (ECSP) is conducted in accordance with NAVFACINST 4100.6 by the cognizant EFD. The survey will highlight for the PWO and UDD areas of energy improvement and provide guidance and techniques for conservation: Figure 7-3 is a collection of some of the recommended actions.

(2) The Energy Conservation Investment Program (ECIP) was established within the Military Construction Program to assure adequate funding of energy

NAVFAC NO.	TITLE
MO-200	Electric Power Distribution System Maintenance
MO-201	Operation of Electric Power Distribution System
MO-202	Control of Electromagnetic Interference on Overhead Power Lines
MO-203	Wire Communication and Signal System Maintenance (Vol. 1)
MO-205	Central Heating and Steam Electric Generating Plants (5 Volumes)
MO-206	Operation and Maintenance of Air Compressor Plants
MO-207	Operation and Maintenance of Internal Combustion Enginers
MO-209	Maintenance of Steam, Hot Water and Compressed Air Distribution Systems
MO-210	Water Supply System
MO-212	Sewerage and Industrial Waste Disposal System
MO-213	Solid Waste Management
MO-215	Mobile Utilities Support Equipment (MUSE)
MO-220	Maintenance and Operation of Gas Systems (Tri-Service)
MO-230	Maintenance Manual Petroleum Fuel Facilities
MO-300	Inactivation of Facilities
MO-301	Reactivation of Facilities
MO-302	Maintenance and Operation of Intrusion Alarm System
MO-303	Utility Targets
MO-304	Utilities Systems Analysis
MO-305	Activity Conservation Techniques
MO-306	Corrosion Prevention and Control
MO-307	Corrosion Control by Cathodic Protection
MO-321.1	Maintenance Management of Public Works and Public Utilities for Small Activities
MO-322	Public Works and Public Utilities; Inspection for Maintenance of

FIGURE 7-2
NAVFAC MAINTENANCE AND OPERATION TECHNICAL PUBLICATIONS

EXAMPLES OF ENERGY CONSERVATION METHODS, TECHNIQUES, SYSTEMS AND EQUIPMENT FOR USE IN BUILDING RETROFIT

1. Tinted and other heat reflecting glass, solar window screening and window coatings to lower solar load on A/C systems.
2. White or aluminum coated roofs to reduce solar heat gain and lower A/C operating costs.
3. Economy cycle (outside air less than 55 degrees) to lower A/C loads.
4. Run-around system to reduce A/C and heating loads.
5. Air-to-air regenerative heat recovery wheels to reduce A/C and heating loads.
6. Two-stage evaporative coolers in arid zones.
7. Single stage evaporative coolers as pre-cooler for outside air makeup in arid zone A/C systems.
8. Built-up water-to-air or air-to-air-heat pumps in larger buildings.
9. Air-cooled condensers, indoor sumps on cooling towers or temperature actuated cooling tower by-pass to eliminate heating cooling towers in below freezing weather.
10. Total energy systems wherein electric power is generated by a diesel engine or combustion turbine and all heat from the air cooler, engine jacket and exhaust gases is used for domestic hot water, space heating and A/C.
11. Diesel engines or combustion turbines to drive centrifugal A/C machines, industrial pumps, etc. to reduce electrical load and maximum electrical demand charges.
12. Absorption refrigeration where heating plant operates in summer or where heating plant can be operated at less cost than total electrical cost.
13. Piggy-back refrigeration system to reduce electrical load.
14. Water cooled fixtures to reduce A/C loads and possibly to transfer heat to adjacent areas.
15. Synchronous motors, capacitors added to the distribution lines and proper choice of fluorescent lighting to provide Power Factor correction.
16. Air cooled refrigeration or A/C condensers in series with cooling towers to minimize equipment sizes and reduce electrical consumption.
17. Supervisory Control Systems in large buildings, hospitals, or building complexes to rapidly identify utility problems and provide lighting and temperature control.
18. Double bundle condensers in centrifugal refrigeration machines to use heat which would otherwise be wasted in cooling towers.
19. Large heat storage systems such as water tanks charged with *waste heat* from lights and A/C condensers when A/C equipment must be operated in winter for interior spaces, EDP equipment or other high heat source use to conserve energy.
20. Peak shaving equipment in both electrical and gas distribution systems to eliminate peak demand charges.
21. Three-phase transformers especially in large substations to reduce transformers losses.
22. Control systems for modulating hot water heating systems, shutting off heating systems at outside air temperature of 64 degrees F, night, weekend or holiday setback and for zero outside ventilation air in unoccupied buildings to reduce A/C and heating loads.

FIGURE 7.3

(3) The Energy Engineering Program (EEP) is a specific O&M,N funded program as defined in NAVFACNOTE 4101, Navy Shore Facilities Energy Engineering Program, 20 Jul 78 directed at identifying and developing permanent, technical actions to assist naval activities in achieving the goals of OPNAVINST 4100.5A.

(4) Utilities Improvement Program - This program was developed to provide assistance to shore activities in identifying and correcting deficiencies to utility plants and systems. The UDD and Utilities Engineer should use this support to develop activity and special projects to correct energy oriented deficiencies. See paragraph 7.6.2.

(5) The Boiler Programs - The Boiler Environmental Quality Tune-Up or BTU Program is designed for boilers of 5 million BTUS (5 MBTU) per hour and above; the multi-phased program involves boiler performance evaluation and testing, equipment maintenance controls adjustment and stack emission testing. This program requires close coordination between the UDD and EFD to improve oprating and maintenance practices resulting in energy conservation and less pollution. The Boiler Efficiency Improvement Program will assist the activity in improved operation and maintenance of boilers under 5 MBTU/hr.

3. Monitoring of energy conservation at the activity is your responsibility as PWO. Meeting and maintaining the goal requires constant attention; monitoring of energy use has to be made for each user and those who fail to contribute to the conservation effort should be notified through the Commanding Officer. The use of energy must be reported through the Defense Energy Information System. The DEIS I report is prepared by the activity to show its POL and the DEIS II (a monthly report) shows the non-POL energy usage vs the FY 1975 base for that period. The reports are submitted in accordance with OPNAVINST 4100.8 directly to DLA for use by higher echelons (claimant, Navy, DOD) to monitor the combined effort to conserve energy. In turn, Major Claimants and sub-claimants receive and monitor their portion of DEIS information to stay abreast if energy conservation performance of all shore activities.

C. **Utility Targets.** Utility targets are after-the-fact engineered determinations of the quantities of utility services that should have been consumed and how much they should cost. Targets represent what can be done with near perfect operation.

1. **Target Preparation.** Construction of a target requires identification of all aspects of how the utility service is used, including plant and system losses. All domestic, industrial, inter-utility and other uses must be computed on the basis of the activities population, production requirements, fleet and aviation units supported, buildings and facilities operated, etc. The resultant target is then the standard or benchmark for measurement of performance. Detailed procedures for target preparation are contained in NAVFAC MO-303.

2. **Uses of Targets.** The primary use for utility targets is to measure performance. You, as PWO, can use targets as an aid in determining the effectiveness of your geographical area and where to place the emphasis on each of the utility programs under its cognizance. NAVFAC and the major claimants can use the targets as an indicator of overall utilities management effectiveness.

A secondary and vital use of utility targets is in the preparation of your activity's utilities budget.

3. **Variation Between Target and Actual.** An acceptable variation between the utility target and actual consumption is + 5 percent. Greater variation is an indication that the target computations should be verified or that corrective action may be necessary.

7.4.4 Emergency Procedures

A. **Casualty Planning.** Equipment and system casualties will occur in utility operations, frequently outside of normal working hours. These unscheduled interruptions of utility services generally impose hardships which may seriously curtail activity functions and reduce its effetiveness in accomplishing its mission. Providing enough standby and reserve equipment to ensure 100 percent reliability is beyond the economic capacity of the Navy.

1. **Casualty Correction Plan.** Management must recognize the potential for both natural and man-made emergencies and have a casualty plan that will visualize the loss of utility services. The plan, A Utility Casualty Correction Plan, should be incorporated in the activity's Disaster Control Plan as an appropriate Annex or Appendix. The plan should be prepared and be corrected and updated as required to provide the most effective plans of action.

The UDD should be responsible for coordinating casualty planning and preparation of an adequate correction plan. He should analyze each system to determine all possible sources of casualties, i.e., from complete loss of a production plant to a break in the distribution system. A priority should be given each type of outage in order to facilitate restoration of service in the order of its importance of the service to the activity.

2. **Restoration of Service.** Procedures for coping with each type of outage must be developed, recognizing acceptable alternate or complementary courses of action. Standby equipment, although expensive-to-operate, should be deployed to permit continuance of vital operations. When service is interrupted by a major casualty, emergency equipment may be needed to provide essential utilities until your activity's facilities are repaired and restored to operating status. The Mobile Utilities Support Equipment (MUSE) inventory was chartered by CNO to fulfill such exigencies. Refer to subparagraph B below.

3. **Training and Organizing Personnel** is a responsibility of the UDD. They should be indoctrinated in procedures of the plan, and be trained to make emergency repairs necessary to expeditious restoration of utility services. They should also be trained to take advantage of system loops and interconnections so that casualty areas may be isolated and bypassed to restore service with minimum delays.

TYPICAL HIGH PAY BACK ENERGY PROJECTS (MCON)
FIGURE 7-4

IN		WILL PAYBACK IN
HAWAII	Replacing incandescent lights with high intensity discharge lamps in five hangars.	1.8 yrs
INDIANA	Providing controls for 30 year old heating plants.	5.3 yrs
	Equipping bay doors in production buildings with air curtains.	4.3 yrs
KENTUCKY	Installing heat exchangers in major exhaust systems.	4.9 yrs
MAINE	Providing economizers on boilers in the central heating plant.	5.8 yrs
MARYLAND	Extending the central environmental control system to all academic buildings.	2.2 yrs
	Providing solar film and insulating panels on windows in equal proportions.	7.4 yrs
NEVADA	Using remote control thermostats and modulating valves.	4.3 yrs
NEW JERSEY	Replacing hot water boiler with heat exchanger and extending/insulating main steam line to eliminate building gas or electric heating units.	2.3 yrs
NORTH CAROLINA	Installing heat limiting and set-back controls such as steam control valves, thermostats, clock timers and external temperature sensors.	3.1 yrs
ALASKA	Installing heat recovery silencers on diesel generators to reduce need for new boilers.	4.1 yrs
CALIFORNIA	Using steam regulating valves to control heating units.	2.8 yrs
	Recirculating air presently being exhausted.	4.2 yrs
	Providing a central monitor-alarm and station control system to detect performance irregularities.	2.2 yrs
	Installing new air-fired boilers and auxillary systems.	1.1 yrs
	Using power line control systems.	2.0 yrs
	Installing new boiler plant controls.	1 yr
CONNECTICUT	Insulating escape training tank.	2.4 yrs
DISTRICT OF COLUMBIA	Providing a new steam condensate return system and repairing steam distribution lines.	5.6 yrs
FLORIDA	Installing a heat exchanger and improving steam and condensate return lines.	4.3 yrs
	Using economizers on boilers, modernizing portions of the steam distribution line and installing new underground steam distribution.	5.3 yrs
	Replacing incandescent floodlights with sodium vapor floodlights.	3.3 yrs
	Providing a steam interconnect to service a base hospital thereby permitting the existing steam plant to operate on stand-by reserve.	3.0 yrs
NORTH CAROLINA	Constructing a facility to process waste oil for reuse as a fuel.	6.1 yrs
SOUTH CAROLINA	Installing heating and air conditioning controls.	1.3 yrs
	Providing a monitoring system for the steam plant.	2.0 yrs
	Using external solar screens to shield air conditioned spaces.	4.0 yrs
	Installing six inch thick thermal insulation in building attics.	6.1 yrs
VIRGINIA	Extending steam lines to additional buildings thus eliminating individual units.	3 yrs
	Providing electrical utility service at the pier for permanently assigned yard craft.	4.9 yrs
	Adapting existing chilled water system for heating purposes.	5.5 yrs
	Providing positive condensate returns.	1.7 yrs
	Making improvements to the steam generation and distribution system.	2.7 yrs
WASHINGTON	Installing individual heating units in a large number of buildings rather than replacing deteriorated steam and condensate lines.	4.1 yrs
	Modifying and upgrading of the condensate return systems.	1.9 yrs
	Providing waste heat recovery equipment.	2.1 yrs
	Installing weather stripping, insulation, night temperature setbacks and outside temperature sensors.	2.4 yrs

utility generating or processing units for electrical power, steam, compressed air, water supply and air conditioning. The equipment is available for interim use to replace equipment out of service because of catastrophe, accident, planned overhaul, or to support military construction. It is not intended that MUSE units augment an activity's facilities for an indefinite period. Accordingly, deployment periods are normally limited to a maximum of 18 months.

2. Procedures for obtaining MUSE equipment are detailed in NAVFACINST 11310.2. The activity is responsible for the equipment while in its custody, and for funding for installation, operating and maintenance costs.

3. NAVFAC MO-215 provides detailed information concerning the technical and general characteristics of the MUSE units. Requests for deployment of MUSE equipment should be forwarded to the MUSE Field Office, CBC, Port Hueneme, California, via the cognizant EFD.

4. Do not hesitate to request planning and technical guidance in situations requiring MUSE equipment, or when problems arise from the use of MUSE equipment. In this connection, it behooves an activity to help the EFD in developing an awareness of deficiencies in their utility systems.

PART 5 - MAINTENANCE, REPAIR AND IMPROVEMENT

7.5.1 Policies:

A. Facilities to be used more than ten years should be maintained as necessary to preserve the asset, and assure their most economical and efficient usefulness for an indefinite period.

B. Facilities to be used from three to ten years should be given maintenance consistent with the projected useful life of the structure or program to which they are related.

C. Facilities to be used for less than 3 years, and are designed only to meet a temporary demand, should be maintained to the minimum acceptable standard without jeopardizing the health and safety of personnel or seriously impairing the accomplishment of the mission.

D. Inactive facilities in mobilization plans should be maintained to the extent necessary to insure weather tightness, structural soundness, protection against fire and erosion, and as necessary to permit reactivation in a prescribed period. Layup measures appropriate for the proper protection of the property should be applied to these facilities.

E. To the extent that maintenance falls short of the standards established above, a list of those projects which must be deferred should be maintained in sufficient detail to clearly reflect the characteristics of the item and the estimated cost of accomplishment.

7.5.2 Level of Maintenance Classification (LMC) Code

A. Purpose. Each facility at an activity does not contribute equally to the activity's Purpose. Facilities vary in maintenance classification. For maintenance work not vital to the activity mission, a high level of command approval should be required.

B. Procedure. NAVFAC MO-321 defines the characteristics that should be applied to a facility to determine its level of maintenance classification. The LMC should be determined jointly by the activity and EFD personnel for all facilities at the activity. The classification for each facility should be entered on the Inventory for Inspection, or Inspection Schedule Card and on all inspection reports when reporting deficiencies.

By relating the reported deficiencies to the proper level of maintenance desired for the facility, a determination can be made as to which work to accomplish in the near future, which work to defer, and which requires no action. The LMC should be used to determine which jobs to process for authorization, or their property on a special project request.

7.5.3 Maintenance Planning. Maintenance planning must anticipate and prevent, to the greatest extent possible, interruptions in utility systems operations and the associated loss of output or capacity caused by equipment breakdown and deterioration. A coordinated inspection and maintenance program must anticipate the eventualities of breakdowns or the gradual reduction of system efficiency as equipment wears out, and provide measures by which they can be avoided to the maximum extent possible. Utilities maintenance needs should be determined through periodic inspections of all utilities equipment and associated facilities by qualified inspectors.

A. Inspections. The nature of utilities services, and their importance to the activity in accomplishing its mission, requires that they be provided with continuous inspection to detect deficiencies and to initiate required corrective action to restore the services to normal or accepted standards. These inspections should be accomplished by:

Operator inspection.
Dynamic equipment inspection/service.
Control inspection.
Supervisory inspection.

1. **Operator Inspection** consists of inspections, lubrications, and minor adjustments of equipment and systems to which a specific operator is assigned. Service work can be performed by the operator when authorized by the UDD. Other maintenance needs should be reported to the UDD.

2. **Dynamic Equipment Inspection/Service** is a preplanned, systematic examination of equipment and systems to which an operator is not assigned. Involved is inspection for minor deficiencies, lubrication, minor adjustment and minor repairs. It may also apply to operator-attended equipment where the operator is not adequately qualified or may not have time to perform the inspection. Utilities Division personnel should perform these inspections. Be sure to include Cathodic Protection Systems

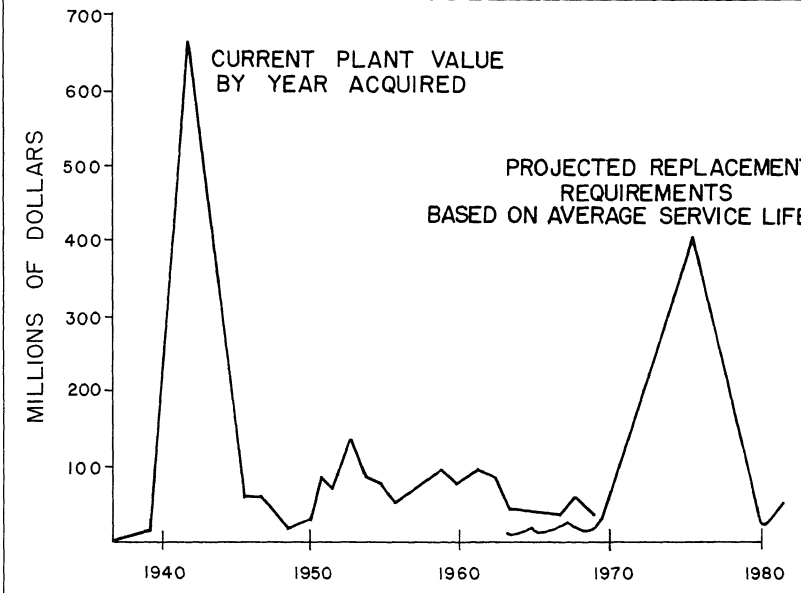


FIGURE 7-5
UTILITIES FACILITIES REPLACEMENT CODE

3. **Control Inspection** is the system of scheduled inspection or the testing of equipment and systems to provide examination of all items not included in operator and dynamic equipment inspections. Further, a control inspection assures the accuracy of the operator and dynamic equipment inspections. The UDD should plan the control inspections in cooperation with the MCD Director.

4. **Supervisory Inspection** is the informal, or spot, inspection performed by the PWO, APWO, and supervisors of the PW Department. This inspection is essentially intended to detect and report obvious maintenance needs.

Detailed inspection of time allowances for inspection, inspection records, and other requirements are contained in NAVFAC MO-321 and MO-322.

B. Work Input:

1. **Service and Minor Work.** The UDD should be authorized to approve minor work, service work and authorization should be processed in the regular manner discussed in Chapter 6. If the work is needed to meet an emergency, the UDD may assign utilities personnel, or request personnel from the Maintenance Division, prior to receipt of formal authorization.

2. **Specific Work.** Requests for specific jobs should be submitted by the UDD to the MCD, indicating timing or completion date for the work. In view of the adverse impact that a unilateral change could have on plant operations and the cost of utilities delivered, no work requested by the UDD or timing agreed to by him for accomplishing the work should be changed by the Maintenance Control or Maintenance Division without his prior approval.

C. **Work Scheduling.** Maintenance and repair work should be scheduled to permit orderly and economical accomplishment. Recurring work, such as painting, should be scheduled on a cyclical basis. For more complex and specialized work, the best qualifed persons to perfrom this work are those with operating experience. Every effort

An alternate would be to defer the work until the qualified persons are available. If it cannot be deferred, it may be possible to reassign personnel. Another alternative is to contract for the work.

7.5.4 Special Projects. Frequently there is a heavy backlog of major maintenance, repair or improvement items in the utilities area. When funds are not available from your O&M allocation, or the cost exceeds the authority level of your Commanding Officer, consider submission through the Special Projects procedure. Those projects that will result in savings of O&M funds, i.e., those that are self-amortizing usually receive top priority for funding from O&M funds retained by your Major Claimant. Normally, these projects should be amortized in less than 5 years. There is good, sound season for this limit. Many of the projects funded that are funded this way involve equipment that would not produce the desired savings if the period were any longer.

When you decide to submit a Special Project, forward it to your major claimant. The procedure for preparing and submitting Special Projects is detailed in Chapter 5.

PART 6 - SYSTEMS IMPROVEMENT

7.6.1 Background. The Navy's utilities systems have a net worth of approximately $4.5 billion or about 15% of the Navys real property investment. Not surprisingly, over 80% of the Navy's utility plants and systems were constructed before the end of World War II, with the preponderance of additions occuring during the war years. Refer to Figure 7-5. Consequently, an alarming percentage of our plants and systems have exceeded their average life expectancy of 30 years. Many have deteriorated and are uneconomical to operate.

Many technical factors have accelerated the decrease in utility support capability. Normal growth of utility loads due to increased standards of living, lighting levels, etc; the impact of environmental control and imposed requirements; increase of technical standards such as pressure and voltage increases for the nuclear fleet, telephone regulation, compatibility with commercial services; state of the art equipment obsolescence; and the continual impositions of inflation have all slowly reduced our margins of safety and operational support. The Navy now finds itself in a situation in which utility support of mission operation is sometimes not available and, more often, extremely unreliable.

7.6.2 Programming for Improvement. Recognizing the critical nature of utility support capability, CNO established a comprehensive Utilities Systems Improvement Program in mid-1969. NAVFACENGCOM was tasked with developing and implementing a systematic and continuing effort to identify Navy-wide utilities requirements, conditions, capacity, and deficiencies and to plan orderly improvement actions. OPNAVINST 11010.31 formalized this effort and assigned responsibilities and established uniform policies and procedures for the program. NAVFACINST 11310.41 implements that utilities improvement program (UIP) & directs EFD's to:

A. Conduct technical system condition/capacity surveys at all Naval activities to quantify the existing condition/capacity of all utility systems.

C. Prepare a mutli-year program for the removal of all validated deficiencies found during the technical surveys.

D. Refine utilities support requirements criteria to establish and validate utilities requirements deficiencies.

E. Use the priority rating system defined in the instruction to establish the relative impact of the deficiencies, of each system on the ability of the activity to meet its mission responsibility, to be used in project comparison.

7.6.3 Funding. The principal funding source is to be the Military Construction Program with the SIFPPS being the tool for planning and logistic support requirements decision making and project submission. However, the utilities improvement effort must develop the potential of other funding sources or channels for correcting utility deficiencies.

7.6.4 Program Support. Although the EFD's have the major responsibility for accomplishing the program requirements, it is in the best interest of each shore activity to support the program, assist the EFD in the utilities improvement surveys, and promptly submit new or revised deficiency resolution projects resulting from the surveys. In this way existing and future utilities deficiencies will get the needed recognition and support in competition for the limited funds available for utilities projects.

PART 7 - COST COLLECTION AND REPORTING

7.7.1 Budgeting. For a discussion of budgeting, see Chapter 13.

7.7.2 Cost Collection. Cost collection is the basis for providing the expenditure data needed for preparation of the family of management and financial reports used in the Utilities Management Program. The cost collection system should provide for capture of data from all expenditure sources and must comply with the requirements of your support command and the provisions of the NAVCOMPT Manual.

A. **Reports.** Two general types of reports are used in the Utilities Management Program: Performance and Management/Financial Reports.

1. **Performance Reports** are the daily and weekly reports indicating plant production and operating conditions. They are prepared by the operating personnel.

Performance reports are designed to facilitate prompt action in controlling operations and in achieving greater efficiencies in operations. The reports should be used primarily by utilities supervisory personnel. However, some of the data recorded on these reports is needed for preparation of the management/financial reports.

2. **Management/Financial Reports** are the monthly and quarterly financial reports which compare planned manpower utilization with actual, and quantities produced with the cost of operation. This family of reports include:

Tabulated Report A - Feeder for Management B

preparing the Management B and the 2126. The 2126 is vital to completion of the 2127 - the UCAR.

The Comptroller or Fiscal Officer is responsible for preparing the 2127.

Since PW personnel prepare the Management B and the 2126, they have a vested interest in the accuracy of the data included. This may not be true of the Comptroller or Fiscal Office personnel. The Tab A, and the 2127 are but a few of the plethora of reports for which they are responsible. Therefore, it is appropriate that a rough (pencil) copy of the 2127 be audited by a PW manager before final typing and mailing to higher command levels.

Preparation and uses of the management/financial reports are discussed in detail in the follwoing paragraphs. Additional information may be found in NAVCOMPT Manual, Volume 3, and NAVFAC P-96.

7.7.3 Utilities Feeder Data Report (NAVCOMPT 2126)

Instruction/References. NAVCOMPT Manual, Volume III, Chapter 7.

Prepared by. Public Works Utilities Division

Frequency. Monthly

Reviewed by. Comptroller - (Feeder data for 2127) PWO, Utilities Division Director.

Source Data. Operating logs or performance reports, fuel consumption reports, plant inventory records and NAVCOMPT 2127 (UCAR) for same reporting period of previous fiscal year.

Information Displayed and Sort. Quantities of utilities produced, purchased, and consumed by type. Also contains information on fuel consumption by type of fuel.

Purpose. Feeder information for Utilities Cost Analysis Report (UCAR) NAVCOMPT 2127.

Analysis of. Utilities Division Director should note and explain any signficant deviation from established standards or targets and forward to the Comptroller for attachment to the UCAR.

7.7.4 Utilities Cost Analysis (NAVCOMPT Form 2127)

Instruction/Reference. NAVCOMPT Manual, Volume III, Chapter 7.

Frequency. Reporting period based on fiscal year.

Annual Utilities Expense	Frequency	
	Local Use	Higher Authority
*$500,000 or more	Monthly	**Quarterly
*$100,000 - $500,000	Quarterly	Quarterly
Less than $100,000	Annually	***Annually

accounting records.

Reviewed by:

Monthly. Public Works Department, Command major claimant (optional).

Quarterly. Public Works Department, EFD, local command, or major claimant.

Annual. Public Works Department, EFD, NAVFAC local command, claimant.

Source Data. Feeder Report, job orders, labor job time cards, stub requisitions, public vouchers, previous 2127 report(s), accounting ledgers, real property inventory, meter reading, and engineered estimates.

Information Displayed, and Sort. Unit cost and quantity data on heat, electricity, potable water, non-potable water, air conditioning, gas, pneumatic power, and other utilities broken down into appropriate components of cost and compare with targets and price charged.

Purpose. To determine unit costs of utilities delivered, produced or puchased to (1) permit establishment of utilities rates, and (2) compare actual unit costs with planned cost. To provide a rational base for budget estimating.

Management Analysis. Figure 7-9 lists a number of analysis ratios to measure various items from the UCAR. It is suggested that only the rates considered most relevant to a particular activity be plotted on a monthly or quarterly basis. Care should be taken to avoid charting too many items.

The following percentages can be used as acceptable guidelines for their respective rations:

1. Comparison of actual with planned quantities

   ± 5%

2. Labor costs vs. fuel costs - line 17 vs. line 18, (17 : 18) x 100%

   coal 50%
   oil/gas 20%

3. Boiler efficiency - line 1 vs. line 15, (1 : 15) x 100%

   normal 75-85%

4. Distribution loss - line 10 vs. line 6, (10 : 6) x 100% nor

   normal 10-15%

7.7.5 Other Utility Reports. Listed below are various reports and their directives which have limited or specialized uses, and for which illustrations is considered unnecessary. The new officer in Public Works should, nevertheless, check the applicability to command and initiate use if necessary.

NAVFACINST 5450.19

Report of Boiler Water Tests Samples

Boiler Water Test and Treatment Record
Sewage Treatment Plant Operating Record
Swimming Pool Operating Record
External Boiler Feed Water Treatment Record
Potable Water Supply and Distribution Operating Record
Potable Water Treatment Plant Operating Record

V

REPORT SYMBOL 7300-2

SECTION	LINE NO	ITEM	HEATING PLANTS: 150,000 TO 3.5 MIL BTU/HR 10^6 BTU'S	HEATING PLANTS: OVER 3.5 MIL BTU/HR 10^6 BTU'S	ELECTRICITY MKWH	POTABLE WATER MGAL	NON POTABLE WATER MGAL	SEWAGE MGAL	AIR CONDITIONING: 5 TO 25 TON TON-HOURS	AIR CONDITIONING: OVER 25 TONS TON-HOURS	GAS 10^6 BTU'S	PNEUMATIC POWER MCUFT	OTHER UTILITIES
1	2	3	4	5	6	7	8	9	10	11	12	13	14
	1	GROSS PLANT PRODUCTION	6,864	6,796		11,182		13,588			163	10,810	
	2	LESS: QUANTITIES USED IN PRODUCTION				355							
	3	NET PLANT PRODUCTION (1-2)	6,864	6,796		10,827		13,588			163	10,810	
	4	PURCHASED - INTRA NAVY											
	5	PURCHASED - OTHER			4,919,395	19,623					34,136		
	6	TOTAL (3 THRU 5)	6,864	6,796	4,919,395	30,450		13,588			34,299	10,810	
	7	PRODUCTION AND PURCHASED QUANTITY TARGET	5,768	5,916	4,730,000	30,949					26,434		
	8	INTERUTILITY TRANSFERS (FROM)	108	229	1,303,187	964					17,760		
	9	NET UTILITIES PRODUCED AND PURCHASES (6-8)	6,756	6,567	3,616,208	29,486		13,588			16,539	10,810	
	10	LESS: QUANTITIES LOST IN DISTRIBUTION	34	34	293,995	168					172	216	
I	11	NET QUANTITIES DELIVERED (9-10)	6,722	6,533	3,322,213	29,318		13,588			16,367	10,594	
II	13	RATED CAP. PROD./CENTRAL SUPPLY	48	63	25.5	S/C/P		2.4	785	1.662	102/54/026	1.263	
	14	MAXIMUM DEMAND	DNA	DNA	10,080	1,410		2,400			73.63	0.25 CFM	
	15	FUEL QUANTITY USED											

TYPE FUEL	BTU CONTENT	UNIT COST 10^6 BTU	FUEL QUANTITY CONSUMED (IN 10^6 BTU'S)									
GAS (FIRM)	1100	0.636	2,806	2,591								338
GAS (INT)	1100	0.463	5,057	5,479								1488
LPG	108,465	0.11	575									568
FUEL	142,000	0.084	142	426								1627
TOTAL CONSUMED			8,580	8,496								4021
16 FUEL QUANTITY TARGET												

SECTION III	LINE NO	ITEM										
	26	STEAM TO	a. QUANTITY									
			b. UNIT COST PER 10^6 BTU							229		
			c. COST PER UTILITY							1.51		
										345.07		
	27	ELEC TO	a. QUANTITY	8,759	8,672	48,649		2,473		460,376	118,046	
			b. UNIT COST PER MKWH	.009	.009	.009		.009		.009	.009	
			c. COST PER UTILITY	78.83	78.05	437.84		22.26		4,143.37	1,062.41	
	28	POTABLE WATER TO	a. QUANTITY	5,745	81,120			49,700		475,332	128,065	
			b. UNIT COST PER MGAL	0.22	0.22			0.22		0.22	0.22	
			c. COST PER UTILITY	1.26	17.85			10.95		104.57	28.17	
	29	NON POTABLE WATER TO	a. QUANTITY									
			b. UNIT COST PER MGAL									
			c. COST PER UTILITY									
	30		a. QUANTITY									
			b. UNIT COST									
			c. COST PER UTILITY									
	32	TOTAL TRANSFERS (FROM)		80.09	95.90	437.84				4593.01	1,090.58	

REMARKS:

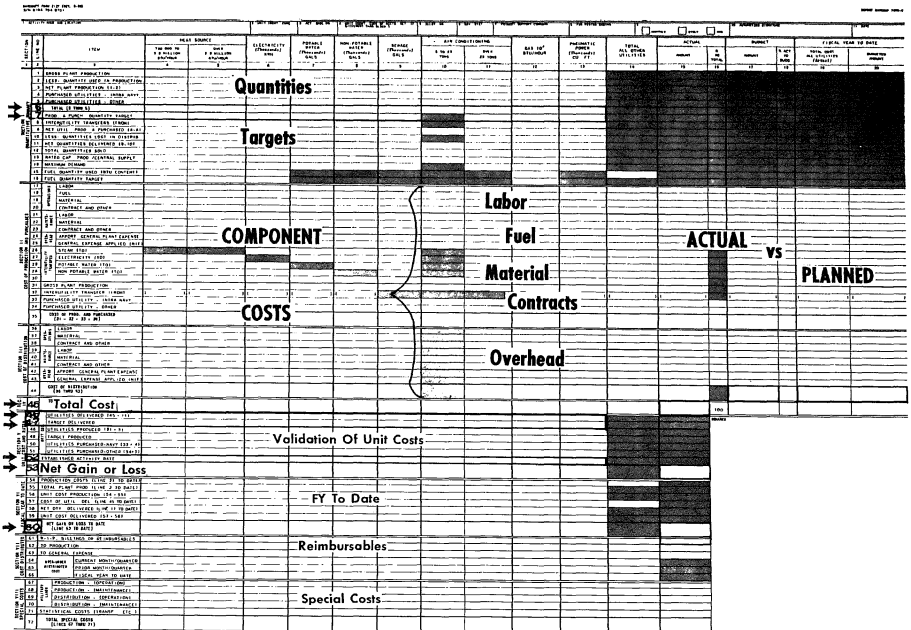


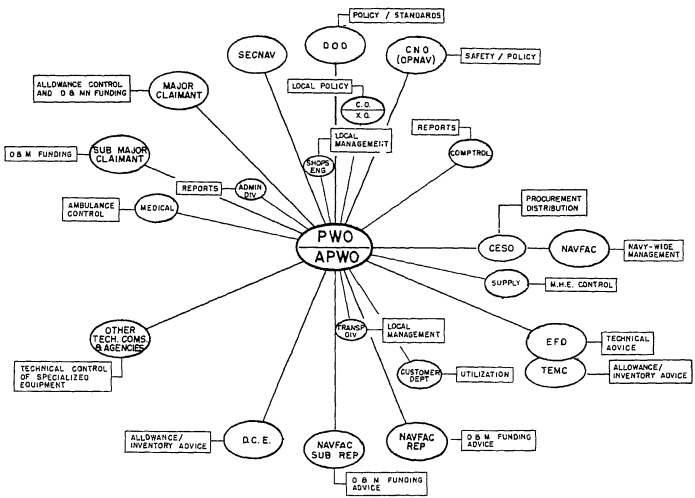
FIGURE 7-7
UTILITIES COST ANALYSIS REPORT

MEASURE	UCAR LINE ITEMS	SHOWS	HOW USED
Maintenance Labor to Material	Production: 21/22 Distribution: 39/40	Efficiency of Labor Performance	Compared to Norm
Plant Use to Capacity	14/13	(1) Overloaded Plant (2) Underloaded Plant	(1) Verify Reserve Capacity (2) Indicate reduce or deactivate excess
Plant Production Requirements	2/1	Wastage in operating auxiliary plant requirements	To increase efficiency
% Actual Maintenance Cost to Budget	Column 18 for Lines 21, 22, 23, 39, 40 and 41	Over/under Budget	(1) Indicates effective maintenance Planning (2) Need for revised maintenance budget or controls
% Actual Operations Cost to Budget	Column 18 for Lines 17, 18, 20, 24, 25, 26, 27, 28, 29, 30, 32, 33, 34, 36, 37, 38, 42, 43	Over/under Budget	Need to revise Budget or Control
Operation Labor to Plant Capacity	17/13	Labor Dollar Cost to Capacity of Plant	Established Labor Cost Standards used for Manpower Utilities and Staffing
Net Gain or Loss $'s	53	Loss or Gain of Funds to Performing Activities Allotment through Sales to Customers	Rates Planning
Maintenance Cost to Total	$\frac{21+22+23+39+40+41}{45}$	What portion of the Utilities dollars for Maintenance. Indicating Obsolescence.	Prompt Management Action to Upgrade Plants
Operation Labor to Gross Plant Production	17/31	Labor Dollar Cost Per Production Cost	Labor Cost Effectiveness Compared with Like Plants.
Quantity Loss in Distribution	10/9	Unusable Amount of Total Product Produced or Purchased.	Distr. Efficiency Compared Against a Standard Relayed to Dollar Wastage
Unit Cost to Unit Cost Target (Heat Sources only)	Delivered: 46/47	Plant Operating Efficiency	Compared Against Engineered Target-Reduce Cost
BTU Output to BTU Input (Heat Sources only)	3/15	Plant Operating Cost Efficiency	Compared Against Mfg. Rating-Reduce Cost
Quantity Target to Actual (Electric, Water and Heat only)	7/6	Actual Quantity to Target Quantity	Review Target Computations to Find Areas to Reduce Quantity Wastage. Standard 0.9 - 1.1

FIGURE 7-8
ANALYSIS RATIOS FOR MANAGEMENT FROM THE UTILITIES COST ANALYSIS REPORT

CHAPTER 8
TRANSPORTATION EQUIPMENT MANAGEMENT

The key to success in Transportation Fleet Management lies in equipment utilization. Allowances are in part determined by it; equipment replacement is a function of it; operations and maintenance funding varies with it — and command's transportation management effectiveness is largely measured by it. *All* aspects of transportation management are keyed in one way or another to the principle of maximizing utilization of each and every piece of Navy transportation equipment held by an activity.



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THE PLAYERS IN TRANSPORTATION MANAGEMENT

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2. NAVCOMPT Manual, Volume 3, Chapter 7...Instructions for NAVCOMPT Transportation Cost Report (TCR).
3. NAVFAC P-306, *Testing and Licensing of Construction Equipment Operators.*
4. NAVFAC DM-28, Maintenance Facilities.
5. NAVFAC MO-403, Navy Driver's Handbook.
6. NAVFAC P-68, Contracting Manual.
7. NAVFAC P-300, Subj: *Management of Transportation Equipment*..... The Primary Navy Reference for Transportation Equipment Management.
8. NAVFAC P-318, Public Works Departments; Organization and Function.
9. NAVFACINST 11200.12 (current), Subj: *Civil Engineering Support Equipment (Transportation Equipment); administration and control of...* Instructions for the Annual Allowance and Requirements Review.
10. NAVFACINST 11200.19 (current), Subj: *Civil Engineering Support Equipment (Transportation Equipment); Annual Requirements Review; mechanized process of...* Instructions for Requirements Cost Evaluation - Transportation Equipment Form.
11. NAVORD OP 2239, Driver's Handbook Ammunition, Explosives and Dangerous Articles.
12. OPNAVINST 11240.8 (current), Subj: *Automotive Vehicles, Construction & Weight Handling Equipment, Railway Equipment and Materials Handling Equipment; Centralized Management of.*

vehicles, construction, railroad, fire-fighting and weight-handling equipment

Civil Engineering Support Equipment (CESE). Includes all equipment for which NAVFAC is responsible (about 99% of all Navy equipment).

Categories of Equipment. (For specific equipment codes see NAVCOMPT Manual, Vol. 3, Chapter 7.)

1. **Automotive Equipment.** All non-combat, self-propelled motor vehicles and trailers suitable for use on the highway or cross-country.

Equipment Alpha Groups: A to P, X and some Z

Equipment Cost Codes: 0060-0899 (A to P); 0900-0907 (Z); 7102-7500 (X); 7100-7501 (Z)

Except those codes designated in Alpha Group 0.

Equipment Alpha Groups: Q, S to U and some Z

Equipment Cost Codes: 2100-5950 (Q, S to U); 3175, 3530, 5126 thru 5155, 5160, 5410, 5415, 5420, 5421, 5450 thru 5500, 5530, 5702, 5900, 5910, 5912

3. **Railroad Equipment.** Locomotive and rolling stock designed primarily for use on rails, except for locomotive cranes. The term includes all Navy-owned powered railroad equipment including box, flat, gondola, etc., cars, and railroad right-away repair and maintenance equipments.

Equipment Alpha Groups: V and W and some Z

Equipment Cost Codes: 6100-6580 (V and W); 6700-6800 (Z)

including locomotive cranes used ashore in lifting large units of materials and sometimes used for loading and hauling.

Equipment Alpha Groups: Y, some Q and Z

Equipment Cost Codes: 8160 thru 8235 (Y); 8240 thru 8243 (Q); 8120 thru 8244, 8265, 8700, 8800 (Z)

5. **Materials-Handling Equipment (MHE).** Equipment used in handling materials on floors and paved surfaces in warehouses, plants and terminals. NAVSUP is responsible for procurement and distribution of MHE.

Equipment Alpha Group: R

Equipment Cost Codes: 1100-1900

6. **Specialized Equipment.** Vehicles and/or equipment designed for use by a specific command, bureau or office.

Equipment Alpha Group: Varies, but generally are F, O, P, V and X.

Equipment Cost Codes: Various, refer to page 7-54, NAVCOMPT Manual, Vol. III, Chapter 7.

7. **Aircraft Ground Support Equipment (GSE).** Specialized equipment used to support aircraft such as jet starters, high psi compressors, etc. NAVAIR is responsible for procurement and distribution on GSE.

Equipment Alpha Group: Q

8. **Miscellaneous Unnumbered Equipment.**

Equipment Alpha Group: Z

8.1.1 Authority and Control. The Chief of Naval Operations through the Chief of Naval Material has delegated the responsibility for the administration of the Navy Transportation Program to the Commander, Naval Facilities Engineering Command (figure 8-2). This responsibility includes the budgeting, acquisition and assignment of Civil Engineering Support Equipment (CESE) and providing policy, procedure, standards and guidelines, both technical and management, for operations and maintenance of CESE.

NAVFAC has material management responsibility for transportation equipment. The transportation equipment allowance is aligned along command (claimant) lines. Claimants receive staff technical assistance from Transportation Equipment Management Centers (TEMC) at NAVFAC EFDs LANTDIV Norfolk, PACDIV Pearl Harbor, CHESDIV (Washington, D. C.) and SOUTHDIV Branch at Pensacola plus resident assistance is provided 11, 12 and 13 Naval Districts activities by WESTDIV at San Bruno, California.

The Commanding Officer has primary responsibilities to the major claimant for the custody and operations and maintenance of transportation equipment.

The PWO is normally delegated authority to manage transportation by his Commanding Officer, except where a Public Works Center has control of the transportation equipment. The Transportation Division Director has the responsibility for routine day-to-day management of the transportation equipment issued to an activity. The responsibilities of the Public Works Department are spelled out under Scope and Objectives.

8.1.2 Scope and Objectives. The primary objectives of a Transportation Management Program are to optimize the:

A. Allowance and Inventory Available.

B. Orderly Procurement, Assignment and Replacement of Equipment.

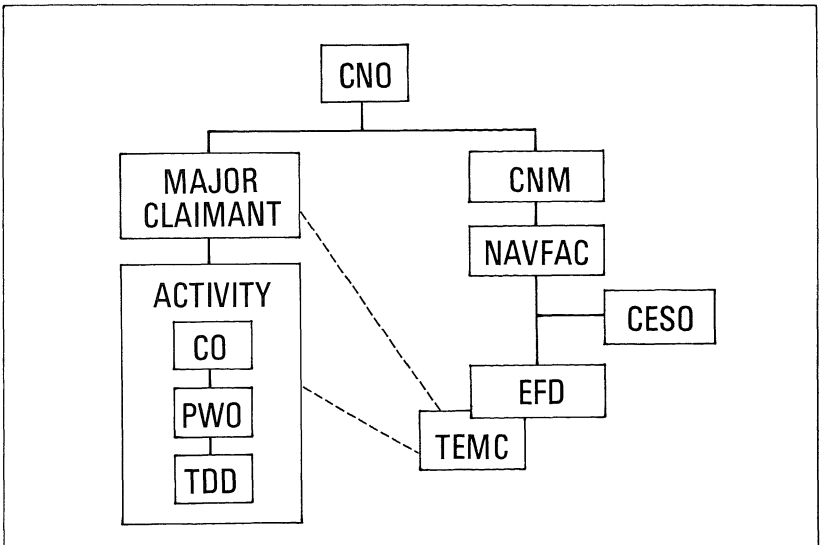
C. Utilization of Equipment.

D. Availability of Safe Serviceable Equipment.

E. Safe and Lawful Operation of Equipment.

F. Economic Life of Equipment.

The Transportation Division Director at the activity is responsible for providing effective transportation services at an optimum cost. This encompasses equipment allowance and inventory control, procurement, replacement and disposal of equipment (including rentals), assignment and operation of equipment, maintenance and repair of



equipment, driver education and licensing, and management analysis of cost and usage data to ensure cost effective utilization of resources. The primary concerns of the Public Works Officer are, normally, ensuring that the Transportation Division is providing adequate and responsive transportation support to the customer, that the future requirements are being identified in time to permit acquisition of equipment (this ordinarily means 2 or more years in advance) and that assigned equipment is being effectively maintained and utilized. The PWO is not normally responsible for utilization of certain types of specialized equipment such as ambulances or material handling equipment. These exceptions, which are spelled out in Chapter 1 of NAVFAC P-300 and in the definition section of this chapter, are under the technical responsibility of various other system commands. In most cases, however, the maintenance of these vehicles is carried out by the Public Works Transportation Division.

8.1.3 Organization and Staffing. The functional responsibilities, organizational components and staffing criteria of the Transportation Division, are discussed in part 2.3 of this manual as well as in NAVFAC P-318. Figure 8-3 depicts the functional organization of a typical Transportation Division. The functional areas listed for each branch depict the division of labor between the two branches.

Of all the personnel you may have in your Transportation Division the dispatcher will affect your effectiveness most. The dispatcher, along with the work receptionist in your Maintenance Control Division and your Housing Manager, are the Public Works Department representatives for over 90% of all contacts. It is important then that he or she be responsive and courteous to customers, meet their needs, and solve their daily problems. Your ability to effectively move people and material will depend on his or her resourcefulness.

8.1.4 Facility Requirements. Guidance on transportation facility requirements can be found in DM-28. As a general rule of thumb, there should be about 36 square feet of transportation maintenance shop for each piece of equipment in the inventory. Don't settle for inadequate facilities. This is the command's facility, and its commodity and condition should be second to none. Maintenance productivity is dependent in large measures on the condition of available facilities, and at $9 to $11 per labor hour, facility contribution to productivity is not to be ignored.

A. **The Motor Pool.** The Motor Pool should be located as close as possible to the "Centroid" of use. Consider the establishment of satellite pools in widely disbursed sites to achieve greater response. There is no restriction, for example, in setting up a satellite dispatch office manned by uniformed and trained operations personnel at or near the administrative office or MAA shack.

8.1.5 Authorized Types of Equipment. A complete listing of available Navy equipment and vehicles by the Department of Defense (DOD) and Navy Codes is contained in Appendix G of NAVFAC P-300. Figure 8-5 is a typical piece of C.E.S.E.

One of the precepts of transportation management is that the right piece of equipment for a job will save money. It

Note that you are not limited by the Department of Defense lists. If you have a special requirement, your TEMC should be consulted.

PART 2 — INVENTORY MANAGEMENT

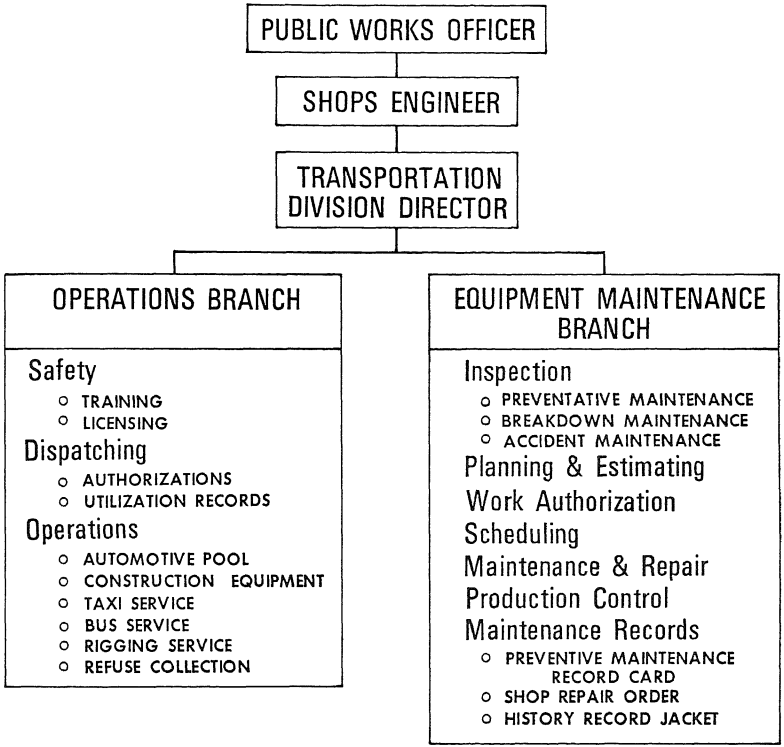
8.2.1 Objectives. The objectives which apply to inventory management are:

(1) the effective utilization of equipment and
(2) the orderly procurement, assignment and replacement of equipment.

The operational readiness of any activity can be enhanced by maintaining the proper quantity and kinds of equipment necessary to meet essential functions.

8.2.2 Allowance Control. Transportation equipment, like personnel, is subject to allowance control. Allowances for various categories of equipment at a Naval Activity are assigned and controlled by the Major Claimant on the advice of the TEMC. As with other resources, there is never enough transportation equipment available to fill 100% of all requirements. Available assets are apportioned out on a more or less "fair share" basis, with demonstrated utilization being the common measure of need. There are always exceptions, of course, based upon unique local conditions, but as a general rule, the above guidelines for allowance apportionment are true, and a sound justification for an increase in allowance is the consistent exceeding of targeted mileage for that type of vehicle. *Allowance changes* are normally requested on the Annual Allowance and Requirements Review (see Section 8.6.3). Emergency requirements are negotiated on an individual basis with the Major Claimant and TEMC. The trick to exceeding assigned target mileage lies in local assignment and operation practices. Factors other than mileage which might be considered valid justification for increases in allowance are: (1) projected change or increase in activity mission; (2) substantial increases in the tempo of operations which cannot bear a year's experience under the existing allowance to demonstrate a need for allowance increases; (3) changes in operational procedures which can clearly be shown to require additional or different types of allowance. (Bear in mind that the claimant is also limited by an allowance, and unscheduled or unforeseen requirements means transferring vehicles within the claimant's allowance, not the creation of new allowances.)

8.2.3 Equipment Acquisition. The most salient feature of the Navy's equipment acquisition process is that it takes a long time — 2 or more years — to be specific. This means that you request transportation equipment replacements and additions for your relief or his relief. The reason for the delay is that the field requirements are assembled by claimants and TEMCs in priority order and forwarded to CESO, CBC Port Hueneme. CESO then determines the claimant fair share of budgeted funds and initiates procurement documentation to be forwarded to the procurement agency. After congressional action is completed the procurement and delivery requires 1 or more years to complete. A second notable feature is that acquisition can only be initiated once a year, in October, by way of the


PUBLIC WORKS OFFICER
SHOPS ENGINEER
TRANSPORTATION DIVISION DIRECTOR
OPERATIONS BRANCH
Safety
TRAINING
LICENSING
Dispatching
AUTHORIZATIONS
UTILIZATION RECORDS
Operations
AUTOMOTIVE POOL
CONSTRUCTION EQUIPMENT
TAXI SERVICE
BUS SERVICE
RIGGING SERVICE
REFUSE COLLECTION
EQUIPMENT MAINTENANCE BRANCH
Inspection
PREVENTATIVE MAINTENANCE
BREAKDOWN MAINTENANCE
ACCIDENT MAINTENANCE
Planning & Estimating
Work Authorization
Scheduling
Maintenance & Repair
Production Control
Maintenance Records
PREVENTIVE MAINTENANCE RECORD CARD
SHOP REPAIR ORDER
HISTORY RECORD JACKET

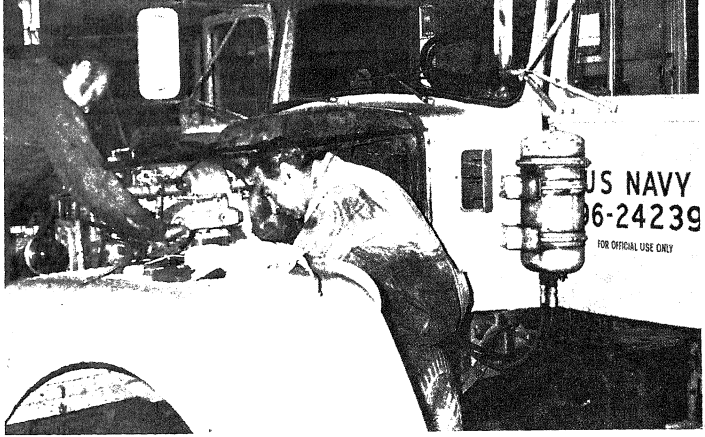


FIGURE 8-4
EQUIPMENT MECHANICS AT WORK, PUBLIC WORKS DEPARTMENT

A. Procurement Responsibilities. Starting with FY-69, the GSA procures motor vehicles up to and including 10,000 GVW. This includes buses, sedans, station wagons, pick-up trucks and other small vehicles. A general summary of transportation procuring agencies is as follows:

Type of Equipment	Procurement Agency
Motor Vehicles, 10,000 GVW & Below	GSA
Motor Vehicles, above 10,000 GVW	Army
Construction Equipment	DSA
Firefighting Equipment (Structural)	DSA
Firefighting Equipment (Crash)	Navy
Weight Handling Equipment	DSA
Railroad Equipment	Army
Other CESE (Specialized)	Navy

The Naval Facilities Engineering Command (NAVFAC) has responsibility for the budgeting and release of procurement requests for the above types of equipment, including the preparation or selection of specifications.

8.2.4 Equipment Disposal. Unfortunately, you have to dispose of equipment for which you have received a replacement. You cnnot strip it for parts. Procedures for disposal of equipment are covered in NAVFAC P-300 for equipment in condition codes better than N-4, E-4, O-4, R3, R4 and X. The basic procedure is the preparation and submission of a Standard Form 120 (Report of Excess Personal Property) to the TEMC who screens it for possible redistribution and then sends the SF120 on residual items to CESO for disposal. The only other action required at the station level is to hold the piece of equipment in its reported condition until instructions are received to transfer equipment to another allowance holder or move it to the Defense Property Disposal Office for disposal as excess.

8.2.5 Equipment Rental and Leasing. You can rent or lease vehicles and equipment. You can rent them in excess of your allowance for short periods if a valid requirement exists. In fact, rental is *preferable* to purchase when it will save money or fill a seasonal requirement. A few things to check when you are about to rent a vehicle are:

A. Make sure you really need it.

B. Make sure you can affort it.

C. Make sure you check the proposed rental with the TEMC.

D. Make sure you have informal contract authority.

The rules for rental of vehicles are outlined in Part II of Chapter 1 of P-300.

8.2.6 Loan. Transportation equipment can be borrowed from or loaned to other Naval activities or to the Post Office. Loans to or from other Federal agencies shall be made in accordance with DOD Directive 4000.19.

FIGURE 8-5
TRUCK, REFUSE COLLECTION COMPACTION, 24 CY WITH CONTAINER HOIST

PART 3 — VEHICLE AND EQUIPMENT ASSIGNMENT

8.3.1 Objectives. The principal objectives of vehicle and equipment assignments are: (1) to provide essential transportation services to the customer and (2) to provide such services in the most cost effective manner. The objective of providing adequate service may sometimes be optimized through individual and organizational assignments of vehicles. Conversely, the objective of maximizing equipment utilization and minimizing cost may be best achieved through the use of scheduled bus, taxi, truck services, or Class "C" assignments. The essence of successful vehicle assignment practice, therefore, is to optimize the combination of these types of assignments so as to satisfy both the effectiveness and cost objectives. The Transportation Division Director is the executive responsible for accomplishing these objectives to the ultimate benefit of the station.

A. Types of Assignments

1. Class "A" Dispatch. A continuous vehicle (sedan) assignment to a *billet* on the basis of responsiblity or rank. Class "A" assignments must be approved by the Chief of Naval Operations. Normally a Commanding Officer's billet warrants a Class "A" vehicle, and properly documented requests for these will be approved. As you move down the chain of command, however, you will encounter increasing difficulty in obtaining approval for Class "A" assignments.

2. Class "B" Dispatch. Class "B" Dispatch is the assignment of an automotive vehicle to an organizational unit of a command, or a tenant, on a continuous basis. Class "B" assignments ar authorized by the Commanding Officer. Class "B" assignments should be subject to minimum utilization criteria; they should be made only where deemed absolutely essential to the mission, and not merely as a matter of convenience or used as a status symbol. These types of assignments usually result in lower utilization of a vehicle. The effects of poorly utilized or unvalidated Class "B" assignments are described in NAVFAC P-300, which says, in effect, that a station allowance for a particular vehicle group can be cut by the number of non-valid "B" assignments. In the case where a station can make a case for a Class "B" assignment on the basis of operational necessity or exceptional conditions alone, exceptions can be made in the utilization criteria. How do we provide the most cost effective transportation? The essential test of a "B" assignment is that the required functions cannot be cost effectively accomplished by the station bus system or taxi system or truck service or by a "C" assigned vehicle. (**Note:** Requests for "B" assignments will vary inversely with the skill and responsiveness of your dispatcher.)

3. Class "C" Dispatch. Pool vehicles are dispatched on an individual trip basis, either as "U-Drive," or chauffeured equipment. This type of assignment invariably results in the most efficient utilization of transportation

and usage of DOD transportation equipment. It should serve as your first reference when questions as to usage arise. It is doubtful in fact, whether you can find a question of usage that isn't covered at least as a matter of general policy, within this instruction.

8.3.2 Dispatching. Well coordinated dispatching of Class "C" pool vehicles can help solve (or avoid) many assignment problems. A customer who can always depend on quick and courteous response to a telephoned request for transportation will be much less apt to clamor for his own Class "B" assignment. As one of the two or three "public" points of contact in the department, the dispatcher plays a key role, not only in successful transportation operations, but also in projecting the image of the entire Public Works organization to the customer. His courtesy, flexibility, and dispatching skill will not only effect customer relations, but will result in smoother PM scheduling, reduced major maintenance (by being sensitive to driver complaints), maximum utilization of equipment and accurate records of vehicle use. A dispatcher should therefore be carefully screened and trained to ensure that he knows the capabilities and limitations of onhand equipment, is familiar with the local area and routes, is thoroughly versed in authorized usage and other regulations, has the ability to exercise good judgment and communicate tactfully with customers, and is knowledgeable in the local transportation emergency plan. It goes without saying that he should be consistent and proper in his day-to-day dispatching duties.

A. Trip Tickets. The trip ticket Vehicle/Equipment Request and Record Form, NAVFAC 9-11240/1 (3-68) (figure 8-6) is generally recognized and accepted for use in dispatching vehicles for all off-station trips and it will continue to be employed for this purpose. The use of the trip ticket for Class "A" assignments on station is optional and is to be determined by the activity commanding officer. The use of the trip ticket for Class "B" assignments on station is also optional. Trip tickets should be used for all Class "C" assignments. Whenever a utilization study is required, it will be necessary to apply the trip ticket to all operations. Six months after the entries have been completed the vehicle Trip Ticket and Dispatchers Log will be destroyed.

B. Types of Dispatch. There are three classes of dispatch: "on call," "scheduled," and "U-Drive-It."

1. On Call Dispatches. "On call" dispatches are for those services which can be performed by the one time dispatch of a vehicle for short periods of time, usually not longer than a duty day. This includes the dispatch of a pool "taxi vehicle" or providing a "U-drive-it" vehicle for operation by the user. This portion of the motor pool resources normally satisfies the bulk of the installations administrative vehicle requirements. This type service must respond to transportation requirements of an intermittent nature and can consist of normal or radio dispatch. However, radio equipped vehicles provide an additional element of control and response.

2. Scheduled Service. Scheduled dispatch services provide for the operation of vehicles on a regular schedule. Each installation or activity normally has requirements for geographic layout of the installation. Normally interstation service will be for trips not to exceed 75 miles one way or 150 miles a day. It is DOD and Navy policy not to compete with commercial carriers. Scheduled services will normally range from scheduled activity bus service (shuttle bus service) for the movement of station personnel to scheduled truck delivery services for laundry, commissary, supply, mail, and transportation for dependent school children. The installation standing operating procedure for motor transport services normally will prescribe the extent of scheduled activity bus services which will be used and set forth the critera and circumstances under which other passenger vehicles may be requested in lieu of those services.

3. U-Drive-It Dispatch Service. Vehicles in this category are normally passenger and light cargo trucks, made available to using organizations and activities of the installation for support of official use functions and operated by personnel assigned to the using agency. Dispatch periods range from single trips of short duration to trips associated with the travel portion of temporary duty. U-Drive-It services may also be used to meet peak workloads, one-time requirements of a singular nature, or to provide vehicles of a particular type of design. All operators of U-Drive-It vehicles must be properly licensed, qualified, and thoroughly familiar with the local motor vehicle transport operating procedures of the installation. Control of the operation of U-Drive-It vehicles will extend to providing procedures which will (1) assure against vehicle misuse and (2) assign responsibilities for safety and security of the vehicle.

8.3.3 Utilization and Targets. As has been stated, high utilization of assigned equipment is one of the primary goals of transportation management. Each category of administrative use equipment at an activity is targeted in advance to achieve a certain usage, expressed either in miles or hours. The actual usage, expressed as a percentage of the target, is called the utilization factor and is used as the primary measure of transportation management effectiveness and activity need for the various equipment codes by those who control allowances and vehicle replacement. Vehicles are jointly targeted by the station and TEMC. Utilization is computed on an average basis for each equipment alpha code subject to the program. Not all of the vehicles and equipment are subject to targeting. Examples of exceptions are fire trucks, ambulances or other specialized equipment or vehicles in a transportation pool with less than 10 vehicles. The fact that a vehicle, or class of the vehicle, is not subject to high utilization does not exempt it from the replacement criteria of mileage and age as outlined in P-300. Mileage or hour targets are established and modified primarily on the basis of historical mileage. Part of the utilization review process also includes review of Class "B" vehicles assigned based upon part mileage or demonstrated need. The document which is used to review utilization at the TEMC is the Annual Allowance and Requirements Review, column 3d, NAVFAC Form 11200/28.

Utilization at the activity level is monitored through quarterly utilization reports, NAVFAC 9-11240. Targeting procedures are explained in detail in the NAVFAC P-300 (see Section 8.6.2).

VEHICLE/EQUIPMENT REQUEST AND RECORD

NAVFAC 9-11240/1 (3-68) S/N-0105-004-1150
Supersedes NAVDOCKS 11240/1 (5-65)

PART A. *To be filled in by Requesting Activity.*

1. REQUESTING ACTIVITY
2. TYPE EQUIP. REQUESTED
3. WITH OPERATOR ☐ YES ☐ NO
4. REPORT TO *(Name, Bldg., Room)*
5. PHONE
6. REPORTING TIME — DATE / TIME
7. DESTINATION
8. ACCOUNTING DATA CHARGEABLE
9. SIGNATURE OF REQUESTER
10. DATE

PART B. *Transportation Dept. fill in on receipt of request.*

1. REQUEST RECEIVED — DATE / TIME
2. RECEIVED BY *(Dispatcher)*

PART C. DISPATCH AND USE INFORMATION

1. GSA REGISTRATION NO.
2. EQUIP. TYPE
3. EQUIP. CODE
4. DATE DISPATCHED
6. TIME — OUT / IN
7. TOTAL HOURS USED
5. DATE RETURNED
8. METER READING — OUT / IN
9. TOTAL MILES
10. OPERATION'S STABILIZED
11. WORK CENTER
12. GAL. GALLONS
COST $
TIRE PURCHASED FROM OUTSIDE SOURCES:
13. REMARKS *(Relevant trip information and/or vehicle deficiency)*

Trip information to be entered on reverse side.

FRONT SIDE

PART D. TRIP INFORMATION

DESTINATION	TIME ARRIVE	TIME DEPART	ODOMETER READING	REPORT TO
1	2	3	4	5

There are several reasons why an equipment items is not achieving a target. The following are listed to prime the pump of management action.

You can control these elements, which effect utilization:

1. Command Policies
2. B and C assignments
3. Rotaion of vehicles
4. Dispatch coordination
5. Types of Class "C" dispatch
6. Maintenance schedules
7. Maintenance downtime (deadline)
8. Targets (in part)
9. Parts supply (in part)
10. Legitimate usage
11. Vehicle rental
12. Accidents

B. Tips:

1. Educate the Commanding Officer. Make a formal, illustrated 10 minute briefing to the Commanding Officer on the effects of utilization on allowance, vehicle replacement, and maintenance. At the same time, explain CNO and DOD policies on Class "A" and "B" assignments. This time will solve most of your problems before they every become problems and will buy credibility.

2. Educate the Customer. Publish the Commanding Officer's briefing in the station newspaper.

3. Monitor Utilization. Make sure that accurate quarterly utilization reports are being prepared and analyzed by the Transportation Division — with cooperation from "B" assignment holders. Make sure that the Transportation Division Director is identifying and tracking significant variances in vehicle utilization.

4. Isolate the Offender. A lag in utilization can usually be attributed to a particular assignment or assignment holder (specific vehicles).

5. Don't Jump the Gun. Get at least six months data — or enough to establish a trend, before taking corrective action. Don't play musical assignments.

6. Communicate. Discuss low utilization with the principal recipient of the service in question. Chances are, when he hears the problem, he will come up with the solution.

7. Check the Target. Maybe it is no longer valid. With "B" assignments, remember that *need* is a criteria along with mileage targets. If necessary, phone and then write the TEMC requesting an adjustment.

8. Switch Vehicles. This won't effect utilization averages, but will assure uniform replacement of the fleet.

that the "B" assignments are based more on convenience th on actual need.

10. Rent Vehicles. Do you have a permane assignment for a seasonal requirement? Consider rental. F periods of under 30 days, you don't even need an allowan and 90 days to fill established allowances. Periods in exc of 90 days require approval from higher authority.

11. Cut Your Allowance. It might sou preposterous, but if you actually don't need a vehicle, it not worth fighting to retain it. If you beat the TEMC to t punch in this area, they will be so flabbergasted and balance that you will be able to get instant approval on t next request you hit them with.

12. Switch Drivers and Vehicles in the "C" Po There should be no discrimination against vehicles on t basis of make or model.

13. Switch Runs. Rotate the vehicles on t long-haul run. Again, this is to balance usage, not increa utilization.

14. Coordinate Maintenance. To maximize vehi availability (see PM Records, Sec. 8.4.1.C).

15. Prevent Excessive Downtime. This can be do in several ways discussed in Part 4. The standard is 7%, a this breaks down to 2% waiting, 2% being worked and 3 awaiting parts.

16. Cut Down on "Dead" Time. How much to time do your trucks spend on each short run? Mo coordination might be indicated.

8.3.4 Driver Training and Safety. Navy vehicles requi drivers with Navy driver's ID SF46 as well as a state licens Navy driver's tests, when required, are normal administered by an operator examiner of the Transportati Division. Guidance on driver training is contained NAVFAC P-300, NAVFAC MO-403, *Navy Driver Handbook*, NAVFAC P-306, *Testing and Licensing Construction Equipment Operators*, and NAVORD OP223 *Driver's Handbook Ammunition, Explosives, and Dangero Articles.* It is notable that Driver Safety Programs ste directly from CNO. Your dispatchers should check driver licenses of personnel checking out Class "U-Drive-I dispatch vehicles.

Sailors drive ships with a lot more care than they dri vehicles. The Station Safety Office has responsibility for t preparation and promulgation of safety regulations for Navy automotive vehicles and other transportati equipment. It is always sound policy to promulgate sa driving through posters, POD notices, and occasional lectur with accident movies. In addition to the obvious benefits fewer accidents, careful driving can drastically reduce t less dramatic maintenance expenditures for burned clutches, tires and brakes, broken transmissions, and oth by-products of haphazard and sloppy driving practices. T

only way to curb observed careless driving is to take the time to track the driver down and discipline him.

8.3.5 Operation of Construction and Weight Handling Equipment. Operation of construction equipment at a Naval activity will normally pose very few problems because it is largely an "in-house" Public Works operation. Weight handling equipment maintenance and operation has had high level attention of late. You must certify your cranes annually as being safe and reliable. Read and understand the new program for inspection, test and certification of this equipment in Chapter 2, Part 3, Section 3 of P300. A few of the typical problems that are likely to arise are: (1) coordination problems with the Maintenance Division; (2) problems involving equipment capabilities (don't succumb to the temptation to misuse construction equipment! In these matters, the *operator*, not you or the Maintenance Division Director, is the expert); and (3) maintenance problems involving long lead time parts procurement. Each of these problem areas can be minimized with the Shop Engineer's and PWO's attention. The parts problem, if it exists, can usually be sidestepped by contracting for major maintenance of construction equipment.

It should be borne in mind that most construction equipment is subject to utilization analysis, just as are your road vehicles.

8.3.6 Equipment Records. Records are kept of the acquisition assignment, usage, and maintenance history of every piece of transportation equipment. The purpose of these records is to provide data which will enable management to pinpoint excessive cost areas, poor utilization, and recurring problems in maintenance. Acquisition (manufacturer's) data and record of maintenance in the form of old shop repair orders are maintained in individual equipment history jackets. Utilization and assignment data is recorded by equipment type and user on quarterly utilization reports and annually on the Transportation Cost Report (NAVCOMPT) which also lists cost data for maintenance and operation (see Chapter 13). The necessity of the various records kept on Navy Transportation has often been questioned, but, to date, no alternatives have been proposed which will satisfy DOD and Federal information requirements while giving local management the necessary detail of information on which to base decisions. Apathy or dismissal of records as "unnecessary paperwork" at the division or branch level is symptomatic of a lack of understanding of the basic management objectives in transportation or just plain laziness. Insist on cost effective budgets (NAVCOMTP 2169) and hold the Transportation Division Director to performance within the budget.

PART 4 — TRANSPORTATION MAINTENANCE MANAGEMENT

8.4.1 Maintenance and Repair:

A. Objectives. The objectives of Navy transportation maintenance vary little from the objectives of a private owner with regard to maintaining his own automobile. The prime objective of maintenance management at the activity is to keep the fleet on the road in a safe and serviceable condition and maximize economic life at the optimum cost.

objectives are essentially the same as in the maintenance management programming, namely systematic preventative maintenance and inspections, orderly work generation and reception, work classification, consistent planning and estimating, utilization of established estimating guides, workload programming and scheduling, and systematic record keeping for subsequent analysis and management action. Sometimes these elements fail to interact smoothly, and it is in these instances that the imagination and management skill of the PWO come into play. It is to the potential trouble areas that we will address this section.

B. Preventative Maintenance. There are three types of PM: Driver/Operator PM (or operator inspection); Service Station PM; and Scheduled PM. The biggest problem with the Driver Maintenance is in getting the driver to do it. (This is not as great a problem with construction equipment.) Each trip ticket issued is accompanied by a NAVFAC Form 9-11240/13 (12-69) (figure 8-8) which is nothing more than a checkoff list on which a driver can note conditions which don't seem right to him. The instructions are very explicit. Even where a trip ticket is not used, every driver should be required to complete an Operators Inspection Guide and trouble report after each day. This should be required on both "B" and "C" assigned as well as regular transportation

OPERATOR'S INSPECTION GUIDE AND TROUBLE REPORT

REGISTRATION NO.	ODOMETER READING

Use this form as a guide when performing before and after operation inspections. Check (√) items that require servicing by maintenance personnel.

	1. DAMAGE *(Exterior/Interior/Missing Components)*
	2. LEAKS *(Oil, Gas, Water)*
	3. TIRES *(Check inflation, abnormal wear)*
	4. FUEL, OIL, WATER SUPPLY *(Antifreeze in season)*
	5. BATTERY *(Check water level, cables, etc.)*
	6. HORN
	7. LIGHTS/REFLECTORS/MIRRORS/TURN SIGNALS
	8. INSTRUMENTS *(Oil, Air, Temperature, etc.)*
	9. WINDSHIELD WIPER
	10. CLEAN WINDSHIELD/VEHICLE INTERIOR
	11. CARGO, MOUNTED EQUIPMENT
	12. STEERING
	13. SAFETY DEVICES *(Seat belts, flares, etc.)*
	14. DRIVE BELTS/PULLEYS
	15. BRAKES *(Drain air tank when equipped)*
	16. OTHER *(Specify in "Remarks")*

DATE	OPERATOR'S SIGNATURE

REMARKS

NAVFAC 9-11240/13 (12-69) *Supersedes DD Form 1352* S/N 0105-004-1195

A-03708

FIGURE 8-8

by the dispatcher. These problems stem from lazines ignorance, or both and should be dealt with as such. Lack early identification and correction of certain deficiencies c not only result in the compounding of maintenance costs b can also endanger human life and property.

C. Service Station PM. Service Station PM is of t same type you would expect from any first rate filling stati when you purchase gas; namely, washing the windshie checking the oil, battery and radiator water, fanbelt, t condition, etc. Unfortunately, inroads in personnel ceilin have sometimes curtailed this type of maintenance, b provide it if you can. This represents one of the "visibl areas of Public Works.

D. Scheduled Preventative Maintenance, the third type PM, is where most actual maintenance takes place. This ty of PM is the equivalent to taking your own car in for an change and service. Scheudles for PM are the responsibili of the Equipment Maintenance Branch and are kept in t form of PM Record Cards (figure 8-9) in a "tickler" card fi Vehicles will be maintained according to manufacture recommendations.

8.4.2 Repair Procedures. A Shop Repair Order (SRO) (figu 8-10) is the transportation equivalent of the specific jo order. It is normally initiated by the Control Sectio Inspector/Estimator or other specifically authorize personnel designated by the Equipment Maintenance Branc supervisors. It is the authorizing document, estimating forr and cost control record of maintenance expenditures. Repa costs are estimated in advance on it to ensure that costs not exceed economic limitations (half of current value) and provide a standard against which to measure actual jo performance and productivity of the mechanics. Estimat for transportation repairs are taken from Commercial "Fl Rate Manuals" or estimating guides. Actual labor costs ar material costs are logged on the SRO by shop personnel, ar the completed document then serves as a principal source data for transportation reports and analysis. Most problen with repair work have traditionally been related to par availability. Without discussing responsibilities or assignir blame for this problem, the solution usually lies in t establishment of local sources of supply, either Blank Purchase Agreements or Contractor Operated Parts Store These alternatives are discussed in following paragraphs.

The other general problem can be related to makir vehicles available for repair. There is not a pat solution this problem. The only guidance would be to consider shi operations if this is a major source of friction. As previous stated, one of the primary objectives of transportation is minimize downtime. This is accomplished through effectiv scheduling of planned maintenance work to avoid havir vehicles sitting in the pool awaiting repair. Coordination required between the dispatcher and the shop supervisor achieve this objective. With a well organized PM schedule, should not become a problem.

A. Maintenance Manhour Standards. Standards for eac type of equipment are given in hours per 1000 miles or hou per year in Appendix J or P-300. They are used to measu maintenance efficiency on the NAVCOMPT 2168/2169.

ASSIGNED TO		PHONE	TYPE OF ASSIGNMENT	EQUIP. CODE	JOB ORDER NO.		PM GROUP
MAKE		MODEL	TYPE	YEAR	EST. ANNUAL MI/HRS		USN REG. NO.

TYPE PM	DATE	CUMULATIVE MILEAGE OR HRS. OPN.	MILES (OR HRS) SINCE LAST PM	MILES (OR HRS) REPORTED FOR 6 MO. PERIOD	TYPE PM	DATE	CUMULATIVE MILEAGE OR HRS. OPN.	MILES (OR HRS) SINCE LAST PM	MILES (OR HRS) REPORTED FOR 6 MO. PERIOD
LAST A			ENTRIES TRANSFERRED FROM PRIOR RECORD						
LAST B									
LAST C									
	*		LAST SEMI-ANNUAL ENTRY						
	*		MI. (OR HRS) AT TRANSFER						

* These two entries made on temporary card on transfer of equipment.

PM RECORD CARD NAVDOCKS 1940 (REV. 12-62)

FIGURE 8-9

PREVENTATIVE MAINTENANCE CARD

SHOP REPAIR ORDER

(11) SRO NUMBER 05387

(20) EQUIPMENT DESCRIPTION (21) MAKE (22) MODEL (23) YEAR (27) EQUIP. CODE (28) SER. NO./VIN

(12) NAVY EUREKA 2884

(29) ACTIVITY (110) PHONE NUMBER (111) LAST "A" TYPE PM (112) LAST "B" TYPE PM (113) LAST "C" TYPE PM (114) METER READING

TO BE COMPLETED UPON EQUIPMENT AVAILABILITY FOR MAINTENANCE REPAIR

PM SERVICE DUE (31) | PM TYPE DUE (115) | (116) REPORTING DATE | DAY | TIME | TOTAL HOURS | (117) PRESENT METER READING

A | 6/2/71 | 1100 | 322-71 | 1330 | 36.0 | 33179

(120) WORK CODE (Check applicable box) | (121) SCHED. FOR REPAIR (Approx. No. Weeks) | (122) WORK PERFORMANCE | (123) REPAIRED BY

1 - SCHEDULED | 2 - INTERIM | 3 - BREAKDOWN | 4 - ACCIDENT | 1 - 100% ACT. EQUIP | 2 - CUST. EQUIP | 1 - OTHER SERV/SHOP | 2 - OTHER CONT

(24) QTY	MATERIAL RECORD (25) DESCRIPTION	(26) MFR. PART NO.	(27) AMOUNT	(28) CREW CTR.	(29) LOC.	(30) MAN-HRS. EST.	ACT.	(31) WORK DESCRIPTION	LEAD MEC.
1	Air Cleaner Elem. Ass			197	6	1.2	1.2	LUBE CHASSIS (SERVICE AIR CLEANER AND BATTERY) X	
1	Fuel Filter							CHANGE MOTOR OIL AND FILTER CARTRIDGE X	
1	SET Front Linings			197	12	2		REPLACE BATTERY (CLEAN TERMINAL AND BOX) C	
1	SET Rear Linings			197	78	6		ADJUST BRAKES Bleed A	
2	Wheel Cyl. Kits Front			197	9	2.2	2.2	Renew Air Filters	
2	Wheel Cyl. Kits Rear			197	13	3.1	3.5	Renew Fuel Filter	
1	Filter oil Ass.			197	12	5.2	5.1	Clean Hose Circuit	
				197	9	3.2	3.2	Clean Snap Valve Ball Linings	
				197	11	2.8	2.8	Clean + Adjust Dwell & Timing	
				197	6	3		Lubr + Examine Head Hooks	
								Rot Right Front Wheel Bearings	
				197	18	5		Bar Re-Inspection Free	
				197	18	7.5		Renew Front Shoes, Recharge	
								Test drive	
								Turn Drums & Rebuild Front Cylinders	

(32a) PARTS ON ORDER (Supv. Number) | DATE | DR TRIAL MATERIAL $ | DR TEL LABOR HRS. 12.5 | 12.0 | FOR CUSTOMER JOB ESTIMATING

(32c) WORK AUTHORIZED (Supervisor's Signature) | DATE

7-10-75

(33) CONTRACTUAL SERVICE REQUEST (Receipt of above order and requirements is hereby acknowledged. Permission to commence work specified above MUST BE AUTHORIZED by requesting activity).

CONTRACTING FIRM | DATE | SIGNATURE

(39) LABOR (MAINT.) ____ HRS. = $ ____

(40) LABOR (OPER.) ____ HRS. = $ ____

(41) MATERIAL $ ____

(42) OTHER $ ____

(43) TOTAL COST $ ____

should be used to develop the maintenance expense portion of your transportation budget (NAVCOMPT 2169). They can also be used to calculate adequate staffing of your maintenance shops (see Chapter 2).

B. Standardization. One problem in the Navy transportation management program is the fact that there is no standardization of equipment by manufacturer. The Navy must buy vehicles competitively. A station with an allownce of 4 pickup trucks might be assigned one Ford, one Dodge, one Chevrolet, and one International. Logistic requirements for parts support are therefore compounded by a factor of four. The problem is further complicated by built-in lead times in the supply system, and a natural hesitancy to tie up a lot of Navy Stock Fund capital and warehouse space in spare parts stock. The solution, of course, is to depend heavily on local support where it is available. Normally, a Supply Officer is willing to exercise his local procurement authority through Blanket Purchase Agreements or Purchase Orders. His cooperation will be furthered by the willingness of Public Works Transportation Division to identify and order items which can tolerate a long lead time for procurement "in the system." On some parts, such as tire chains, spark plugs, and batteries, the Supply Officer is required to procure through the GSA/DSA system. A recent innovation which has had varying degrees of success is the Contractor Operated Parts Store (COPARS). This is a contractural arrangement with a private vendor to operate a parts store on the station itself with his guarantee to supply certain categories of parts with specified limits. If your station transportation fleet has any size to it, this arrangement should be considered.

C. Warranties. Take advantage of warranties unless it will cost more in driver expense to take the vehicle to the dealer for warranty services than repairing the vehicle "in-house."

8.4.3 Commercial Repair. Contracts should be utilized for commercial repair with the same general philosophy as used in contracted facility maintenance; namely, for specialized types of work, or as a relief valve when work gets backlogged. Your OICC contract authority should give you the authority. If there is a question in this regard, be sure and verify with the local TEMC. Body repair work is a natural for contract in most cases. Guidance for preparation of repair contracts can be found in NAVFAC P-68.

PART 5 — TRANSPORTATION MANAGEMENT CONTROL

8.5.1 General. Management can be defined briefly as achieving the planned objectives within the planned resources. Most everyone can achieve an objective with unlimited funds; the real test of the manager is getting the job done with limited or constrained resources. A primary element of good management is control of resources, both O&MN funding and equipment utilization.

8.5.2 Budget Control. The O&MN resources, in terms of funding and personnel ceiling, to implement a cost effective

PWO approves and is able to fund the budget plan, the feedback on budget performance by the Transportation Director is reflected in the monthly NAVCOMPT 2169. This should be the primary management tool used by the PWO and the Transportation Director. The NAVCOMPT 2168 provides the detail expenditure feedback on a monthly basis. If the Transportation Director is providing responsive transportation services within the budget plan, the PWO knows there is management control. The PWO should require the Transportation Director to reconcile on a monthly basis significant variance from the budget plan.

8.5.3 Equipment Utilization Control. The technique of good equipment utilization control has been previously discussed under paragraph 8.3.3 It is agains stressed that utilization targets are the management plan. Feedback of performance against the plan is the quarterly Activity Utilization Report (NAVFAC 0-11240/9) as described in Part IV, Section 1 of NAVFAC P-300. The PWO should insist that approved utilization targets are met and take appropriate management action when the utilization plan gets off track.

PART 6 — TRANSPORTATION REPORTS

8.6.1 Transportation Cost Report.

Instruction/Reference. NAVCOMPT Manual, Volume 3, Chapter 7, Part B.

Prepared by. Comptroller. Verified by Transportation Division Director.

Frequency. Annually, by 6 August, for activities with 50 or more units of USN registered equipment. Not required for activities with fewer than 50 units as well as forces afloat, attaches' and missions.

Reviewed by. EFD (TEMCs for Major Claimant), NAVFAC Primary (Support Commands, Systems Commands as required).

Source Data. NAVCOMPT 2168.

Information Displayed and Sort. Shows average on hand inventory, downtime hours, work units (miles or hours of operation), manhours and cumulative-expenses by cost accounts.

Purpose. Used locally and by various levels of higher authority to monitor activity and overall Navy transportation costs.

Management Analysis. The TCR is annual summary of transportation expenses reported locally on the NAVCOMPT 2168 and 2169. These should be reviewed monthly by the PWO, Transportation Director, Maintenance Supervisor and Operations Supervisor to ensure expenses are within the budget plan and variances are reconciled or corrective action is taken.

TCR

(EXAMPLE)

FROM	TO	BUDGET	REPORT	FOR PERIOD ENDING
(AAA OF ACTIVITY BEING REPORTED)	NAVFACENGCOM	☐ DETAIL ☐ UPDATED PLAN	☑ DETAIL ☑ SUMMARY	30 JUNE 19__
BUDGET FOR	**BUDGET GRANTOR**	**APPROPRIATION DATA**	**COST CENTER**	**REPORTING FISCAL OFFICER** *(Signature, rank and date of submission)*
(ACTIVITY BEING REPORTED)	Claimant/Management Command		TRANSPORTATION COST REPORT	

FUNC/ SUB. FUNC. CAT.	COST ACCOUNT	Average on Hand Inventory	Downtime Hours	WORK UNITS	MAN-HOURS		CUMULATIVE EXPENSES					
					MILITARY	CIVILIAN	MILITARY SERVICES	CIVILIAN LABOR	MATERIAL AND SUPPLIES	COMMERCIAL CONTRACTS	OTHER	TOTAL EXPENSES
(1)	(2)	(3A)	(3B)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
	62A0	26	683	195		457		3,123	2,327	130	150	5,730
	62B0	7	724	37		117		811	265	97		1,173
	62E0	3	152	47		56		391	184	109		684
	6210	5	315	26		95		654	294	12		960
	6200					725		4,979	3,070	348	150	8,547
	63A0			16,273					8,467			8,467
	63B0			616					320			320
	63F0			4,710					1,925			1,925
	6310			4,507					1,875			1,875
	6300								12,587			12,587
	6420			100		1,958		13,759	6,259	292		20,310
	6460					3,120		15,870	12,400	1,320		29,590
	6450			14,647		2,524		17,349	13,582	1,541		32,472	
	6400					7,602		46,978	32,241	3,153		82,372
	6520			1,100					1,000			1,000
	6540								4,725			4,725
	6550			8,250					3,800			3,800
	6500								9,525			9,525
	6610									1,800		1,800
	6600									1,800		1,800
	6710					31,828		98,400				98,400
	6740					42,730		135,300				135,300
	6700					74,558		233,700				233,700
	6810					1,800		9,400	800			10,200
	6800					1,800		9,400	800			10,200
	6910				3,440	1,728	15,600	6,900	2,000			24,500
	6900				3,440	1,728	15,600	6,900	2,000			24,500
		TOTAL			3,440	86,413	15,600	301,957	60,223	5,301	150	383,231

FIGURE 8-11

TRANSPORTATION COST REPORT - NAVCOMPT 2168

of utilization.

Prepared by. Public Works Transportation Division.

Reviewed by. PWO, Transportation Division Director and holders of Class "B" assignments.

Source Data. Targets — Joint activity/TEMC annual survey and validation of assignments.

Information Displayed and Sort. Report shows actual mileage odometer readings, quarterly and annual utilization of assigned transportation equipment for each department holding vehicles.

Purpose. Used to validate assignments and to monitor and evaluate utilization of transportation equipment on a regular basis.

Management Analysis of. Variances are less than 90% or greater than 110% utilization. Utilization should be tracked over two or more reports before action is initiated. Report provides rationale for shifting vehicle assignments from department to department as needs vary, or for removing vehicles from service and delcaring them excess.

Utilization Analysis:

A. Automotive Construction and Allied Equipment.

1. **Reference.** NAVFAC P-300.

4. **Utilization Evaluation.**

a. Standard Utilization Percent - 100.

b. Activity Group Utilization =

Total Period Mileage/Hours
Total Period Target

c. Allowed Inventory =

Total Period Mileage/Hours
Unit Target Miles

d. Frequency of Evaluations. Quarterly annually.

a. Activity-

Annual Group Mileage/Hours =
Group Inventory

Group Target Miles/Unit.

b. Departmental-

Annual Mileage/Hours =
Group Vehicles Assigned

Group Target Miles/Unit.

NAVFAC P-1376/8 (7-68)

ACTIVITY: NAVAL ACTIVITY, SOUTH END, USA

DATE: [X] REPORT/ACTIVITY | ACTIVITY | CARRIER/MOTOR/MARKET

REPORT NAVFAC 11376/8-17

FISCAL YEAR: 72

ALPHA CODE	DESCRIPTION	ANNUAL TARGET MILES PER UNIT	FY BIC YRS	1st QUARTER				2nd QUARTER				3rd QUARTER				ANNUAL				REQUIRES EVALUATION
				ACTUAL TARGET	% OF TAR GET	AVG VEH	END VEH NO.	ACTUAL TARGET	% OF TAR GET	AVG VEH	END VEH NO.	ACTUAL TARGET	% OF TAR GET	AVG VEH	END VEH NO.	ACTUAL TARGET	% OF TAR GET	AVG VEH	END VEH NO.	
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
A	SEDAN	10000	10	23600 25000	94	10	10	46700 50000	93	10	10	73100 75000	97	10	10	103100 100000	102	10	10	
B	BUS,37-Passenger	16000	5	21350 20000	107	5	5	40950 40000	102	5	5	59050 60000	98	5	5	83250 80000	100	5	5	
1G	PICKUPS	10500	50	138600 131250	104	50	50	261700 262500	100	50	50	385800 393750	98	50	50	508700 525000	97	50	50	+1
J	TRUCKS, 1½ ton, Stake	7200	7	13150 12600	104	7	7	25600 25200	102	7	7	38800 37800	103	7	8	52500 50400	104	7.5	8	
K	TRUCKS, 2½ ton	7700	29	53200 55825	95	29	29	104600 111650	94	29	29	157200 167475	94	29	29	214800 223300	96	29	29	+1
1H	TRUCKS, 5-10 ton	3200	5	3950 4000	99	5	5	7600 8000	95	5	5	12300 12000	103	5	5	16580 16000	104	5	5	
I	Compare Unit Target Miles with Range of Targets																			

SHEET 1 OF 3

NAVFAC P-1376/8 (7-68)

ACTIVITY: MAINTENANCE DIVISION

DATE: [X] REPORT/ACTIVITY | ACTIVITY | CARRIER/MOTOR/MARKET

REPORT NAVFAC 11376/8-17

FISCAL YEAR: 72

ALPHA CODE	DESCRIPTION	ANNUAL TARGET MILES PER UNIT	FY BIC YRS	1st QUARTER				2nd QUARTER				3rd QUARTER				ANNUAL				REQUIRES EVALUATION
				ACTUAL TARGET	% OF TAR GET	AVG VEH	END VEH NO.	ACTUAL TARGET	% OF TAR GET	AVG VEH	END VEH NO.	ACTUAL TARGET	% OF TAR GET	AVG VEH	END VEH NO.	ACTUAL TARGET	% OF TAR GET	AVG VEH	END VEH NO.	
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
G	PICKUPS	8400	10	20800 21000	99	10	10	39900 42000	95	10	10	58600 63000	93	10	10	77500 84000	92	10	10	+2
J	TRUCKS, 1½ ton	7200	7	13150 12600	104	7	7	25600 25200	102	7	7	38800 37800	103	7	8	52500 50400	104	7.5	8	
K	TRUCKS, 2½ ton	7050	6	12115 10575	115	6	6	23205 21150	109	6	6	32815 31725	103	6	6	44830 42300	106	6	6	
H	TRUCKS, 5-10 ton	3200	5	3950 4000	99	5	5	7600 8000	95	5	5	12300 12000	103	5	5	16080 16000	100	5	5	

[1] Excess pickup on basis of Annual usage and evaluation of missing essentials.

[2] Additional Stake truck assigned 3rd quarter, low mileage increase indicates assignment should be reevaluated. 52300/5 = 458

[3] 3rd quarter usage exceeds other quarters due to snow removal operations

SHEET 2 OF 3

NAVFAC P-1376/8 (7-68)

ACTIVITY: NAVAL ACTIVITY, SOUTH END, USA

DATE: [X] REPORT/ACTIVITY | ACTIVITY | CARRIER/MOTOR/MARKET

REPORT NAVFAC 11376/8-17

FISCAL YEAR: 72

ALPHA CODE	DESCRIPTION	ANNUAL TARGET MILES PER UNIT	FY BIC YRS	1st QUARTER				2nd QUARTER				3rd QUARTER				ANNUAL				REQUIRES EVALUATION
				ACTUAL TARGET	% OF TAR GET	AVG VEH	END VEH NO.	ACTUAL TARGET	% OF TAR GET	AVG VEH	END VEH NO.	ACTUAL TARGET	% OF TAR GET	AVG VEH	END VEH NO.	ACTUAL TARGET	% OF TAR GET	AVG VEH	END VEH NO.	
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
A	C.O.	6000	1	1500 1500	1	1	1	3000 3000	1	1	1	4500 4500	1	1	1	6000 6000				
	ADMIN. DEPT.	10000	1	2500 2500	1	1	1	5000 5000	1	1	1	7500 7500	1	1	1	10000 10000				
	MED. DEPT	7500	1	1875 1875	1	1	1	3750 3750	1	1	1	5625 5625	1	1	1	7500 7500				
	"C" POOL	10930	7	19130 19250	7	7	7	38260 38250	7	7	7	- - - - -	7	7	- - - - -					
A	ACTIVITY	10000	10	23000 - - - - -	10	10		50300 - - - - -	10	10		75000 - - - - -	10	10		100000 - - - - -				
B	NAVSCON	14500	1	3625 3625	1	1		7250 7250	1	1		10875 10875	1	1		14500 14500				
	OPERATIONS DEPT	12500	1	3125 3125	1	1		6250 6250	1	1		9375 9375	1	1		12500 12500				
	"C" POOL	17500	3	13125 13125	3	3		26250 26250	3	3		39375 39375	3	3		52500 52500				
B	ACTIVITY	16000	5	20000 - - - - -	5	5		40000 - - - - -	5	5		60000 - - - - -	5	5		80000 - - - - -				
E	ADMIN. DEPT.	12000	1	3000 3000	1	1		6000 6000	1	1		9000 9000	1	1		12000 12000				
	OPERATIONS	13000	1	3250 3250	1	1		6500 6500	1	1		11250 11250	1	1		13000 13000				
	DISPENSARY	10000	1	2500 2500	1	1		5000 5000	1	1		7500 7500	1	1		10000 10000				
	"C" POOL	12500	2	6250 6250	2	2		12500 12500	2	2		18750 18750	2	2		25000 25000				
E	ACTIVITY	12400	5	15500 - - - - -	5	5		31000 - - - - -	5	5		46500 - - - - -	5	5		62000 - - - - -				

SHEET 3 OF 3

FIGURE 9-12

Frequency. Annual. 11200/28 — 1 July; 11200/28 and 11200/30 — 1 November.

Reviewed by. Transportation Equipment Management Centers and Major Claimants.

Source Data. Manufacturers plate data, odometer readings, estimate of one-time repair costs.

Information Displayed and Sort. NAVFAC 11200/28 — for each equipment code, shows allowance, average on hand, and identifies gross requirements for replacement and additions for current year. NAVFAC 11200/29 displays information for the specific piece of equipment for which a replacement is requested, or if an additional requirement, a description of the new item. NAVFAC 11200/30 for equipment included in Transportation Equipment Groups (4) normal vehicle equipment.

Management Analysis of. TEMCs will validate allowance and consolidate requirements for inclusion in NAVFAC budget request. Basically, mileage, age and condition for each vehicle are projected 24 months for "current year." If condition or age and mileage will exceed maximum limits shown in NAVFAC P-300, the vehicle is identified for replacement. If identified as "current" year replacements, vehicles are specifically identified on the NAVFAC 11200/29 report. A separate economic analysis is performed on expensive construction equipment (over $15,000), which basically permits comparison of annual costs for retaining the present equipment, with annual costs for a new piece of equipment and annual rental costs for a similar piece of equipment.

8.6.4 Reports Covered Elsewhere

	Source
Accident Report	NAVFAC P-300
Deficiencies in New Automotive Construction and Weight Handling Equipment	NAVFAC P-300
Report of Vehicles Chartered or Rented, Form NAVDOCKS 2578	NAVFAC P-300
Report of Automotive and Construction Equipment Received, Form DOD 1342	NAVCOMPT Manual Vol. 3
School Bus Facility Operating Report, OPNAV Form 4650/1(5-70)	OPNAVINST 4650.14

ANNUAL ALLOWANCE AND REQUIREMENTS REVIEW
NAVFAC 11200/28 (12-71) *(Supersedes NAVDOCKS 2413)*
S/N 0105-050-2800

Instructions on reverse side

REPORT NAVFAC 11200-3

TYPE OF EQUIPMENT *(Check appropriate box)*

( ) PASS CARRYING VEHICLES
(X) TRUCKS
( ) TRAILERS
( ) CRUSH MIX BATCH/PAV EQPT
( ) DRILL AND BLAST EQPT
( ) EARTH MOVING EQPT
( ) LIGHTING/POWER GEN EQPT
( ) MISC CONSTR/MAINT EQPT
( ) FIRE FIGHTING EQPT
( ) WEIGHT HANDLING EQPT
( ) RAILWAY EQUIPMENT

TO: CINCPACFLT
VIA: WESDIV, PACDIV, AIRPAC
FROM *(Activity)*: NAVAL STATION
UIC: 99999
FOR PERIOD ENDING: 30 SEP 1975
LOCATION: EUREKA, CALIFORNIA
OFFICE/BUREAU OR COMMAND: H
NO/AREA CODE: 12

NAVFAC EQUIPMENT CODE	ITEM DESCRIPTION	ALLOWANCE						SUBSTITUTIONS		ON HAND EXCESS	CURRENT YEAR REQUIREMENT		
		PRESENT ALLOWANCE	REQUESTED ALLOWANCE	ON HAND	UTILIZATION %	COMMAND RECOMMENDATION	APPROVED ALLOWANCE	NO. OF ITEMS	SUBSTITUTE CODE	TO BE REPORTED SF 120	SCHEDULED FOR SUPPLY	REQUIRED REPLACEMENT	ADDITIONAL REQUIREMENTS
1	2	3a	3b	3c	3d	3e	3f	4a	4b	5	6a	6b	6c
0311	Truck, Carryall, 8 Pass., 4x2	2	2	2	100			—	—	0	0	0	0
0313	Truck, Cargo, P/U, 4x2, 4,800 GVW	16	15	16	94			—	—	0	0	3	0
0327	Truck, Cargo, P/U, 4 Dr., 5,800 GVW	5	5	2	250			1	0313	0	0	1	1
0327	Truck, Cargo, P/U, 4 Dr., 5,800 GVW	—	—	—	—			1	0342	—	—	1	—
0342	Truck, Cargo, P/U, 4x2, 7,000 GVW	3	2	3	67			—	—	0	0	0	0
0426	Truck, Stake, 4x2, 14,000 GVW	4	2	4	100			—	--	0	0	0	0
0445	Truck, Stake, 4x2, 16,000 GVW	0	2	0	—			2	0426	0	0	2	0
0602	Truck, Dump, 4x2, 24,000 GVW	2	1	2	50			—	—	1	0	1	0
5830	Truck, Refuse Container Hoisting	2	3	2	150			—	—	0	0	0	1

AUTHORIZED SIGNATURE *(Last sheet only)*

SHEET 2 OF 11

C-88814

FIGURE 8-13
ANNUAL ALLOWANCE AND REQUIREMENTS REVIEW

REPLACEMENT JUSTIFICATION - ANNUAL REQUIREMENTS REVIEW
NAVFAC 11200/29 (12-71) (Supersedes NAVDOCKS 2414)
S/N 0105-050-2900

Instructions on reverse side

REPORT NAVFAC 11200-3

TYPE OF EQUIPMENT
(Check appropriate box)
( ) PASSENGER CARRYING VEHICLES
(X) OTHER TRANSPORTATION EQUIPMENT

TO: CINCPACFLT
VIA: WESDIV, PACDIV, AIRPAC
FROM (Location): NAVAL STATION
UIC: 99999
DATE: 30 SEP 1975
LOCATION: EUREKA, CALIFORNIA
OFFICE/OUREAU/OR COMMAND: H
ND/AREA CODE: 12

PART A. DATA ON PRESENT EQUIPMENT FOR WHICH REPLACEMENT IS REQUESTED IN PART B
(Leave PART A blank and fill in Part B ONLY when ADDITIONAL equipment is requested.)

PART B. DATA ON REQUESTED EQUIPMENT

NAVFAC EQUIPMENT CODE	ITEM DESCRIPTION	U.S.N. REGISTRATION NO.	YEAR OF MFG. (2 digits)	ACCUMULATED MILEAGE OR HOURS (H)	NECESSARY REPAIRS FOR CONTINUED SAFE OPERATION (Dollars)	EQUIP. CODE & TYPE DESIGNATOR (Enter 2-digit numerical type designator after equip. code when it is adequate for procurement. Enter "-00" after equip. code when procurement description is attached.)	PRIORITY ACTIVITY	PRIORITY AREA
1	2	3	4	5	6	7	8a	8b
0313	Truck, Cargo, P/U, 4x2, 4800 GVW	94-00750	67	143,604	530	0313-01	8	
0313	Truck, Cargo, P/U, 4x2, 4800 GVW	94-00753	67	99,176	505	0327-01	9	
0313	Truck, Cargo, P/U, 4x2, 4800 GVW	94-00751	67	102,021	475	0313-01	10	
0313	Truck, Cargo, P/U, 4x2, 4800 GVW	94-00752	67	96,782	475	0313-01	11	
0602	Truck, Dump, 4x2, 24,000 GVW	96-04044	59	71,275	1,520	0602-01	12	
						5830-01	13	
5124	Generator Set, Ded, 60 KW, Trlr. Mtd.	51-00025	55	8,825H	2,905	5124-01	14	
0342	Truck, Cargo, P/U, 4x2, 7000 GVW	94-00754	58	94,893	520	0327-01	15	
0426	Truck, Stake, 4x2, 14,000 GVW	94-03427	59	74,655	710	0445-01	16	
0426	Truck, Stake, 4x2, 14,000 GVW	94-04566	59	73,893	685	0445-01	17	
0000		00-00000	00	00000	0000	0327-01	18	
0000		00-00000	00	00000	0000	5124-01	19	
0000		00-00000	00	00000	0000	5124-01	20	

AUTHORIZED SIGNATURE *(Last sheet only)*
R.S. PHILLIPS, CAPT, USN, COMMANDING OFFICER

SHEET 2 OF 2

C-23618

FIGURE 8-14
REPLACEMENT JUSTIFICATION – ANNUAL REQUIREMENTS REVIEW

8/15/75

A. GENERAL DATA

2. ANALYSIS NO.	5. ACTIVITY NAME AND LOCATION	6. ACTIVITY UIC CODE
A-44		69999
3. RECOMMENDED PRIORITY		**7. OFFICE, BUREAU, COMMAND CODE**
10		G
4. PREPARED BY / APPROVED BY	NAVAL STATION, EUREKA, CA.	**8. ND/AREA CODE**
A.R. 8/13 / G.D. 8/15		05

B. EQUIPMENT DATA

9. PRESENT EQUIPMENT DATA

(a) DESCRIPTION *(Incl. make, model, and USN No.)*: Compressor, Air, Reciprocating, GED, 500 CFM, Trailer Mounted, USN 31-00342

(c) NAVFAC EQUIPMENT CODE: 3160

(d) YEAR OF MANUFACTURE: 64

(e) ACCUMULATED SERVICE *(Check one)*: ☐ MILES/ ☒ HOURS 8475

(b) ANNUAL UTILIZATION *(Check miles or hours)*: CURRENT YEAR ESTIMATE: 700 ☐ MILES/ ☒ HRS

(f) TOTAL REHABILITATION COST: 8,280

10. PROPOSED EQUIPMENT DATA

(a) DESCRIPTION *(Incl. Fed. Stock No. if available)*: Compressor, Air, Rotary, 600 CFM, DED, Trailer Mounted

(c) NAVFAC EQUIP. CODE - TYPE DESIGNATOR: 3165-00

(d) AREA PRIORITY *(Entered by Area Coordinator)*:

(e) PAST FY % UTILIZATION FOR THIS TYPE EQUIPMENT: 33

(b) EST. FIRST YEAR UTILIZATION: ☐ MILES/ ☒ HRS. No. of 700

RENTAL PERIODS *(Check appropriate box and give no. of)*: ☐ MONTHLY *(176 Hrs.)* ☐ WEEKLY *(40 Hrs.)* ☐ DAILY *(8 Hrs.)*

C. DEVELOPMENT OF ANNUAL COST FOR CAPITAL DEPRECIATION, MAINTENANCE AND OBSOLESCENCE OF PROPOSED EQUIPMENT

11. Procurement Cost of Proposed Equipment		$ 13,000/18,500
12. Total Cost of Proposed Equipment Including $ 400 for Freight and Services		$ 18,900
13. Estimated Terminal Salvage Value of Proposed Equipment		$ 1,800
14. Adjusted Gross Cost of Proposed Equipment *(Line 12 minus Line 13)*		$ 17,100
15. Estimated Years Service Life	13	
16. Related Annual Service Life Factor *(From Tables)*		$ .204
17. Product of Line 14 times Line 16		$ 3,488
18. First Year Maintenance Cost		$ 300
19. Average Annual Cost for Capital Depreciation, Maintenance & Obsolescence of Proposed Equip. (17 + 18)		$ 3,788

D. COMPARATIVE ANALYSIS OF PRESENT AND PROPOSED EQUIPMENTS

FACTORS	CURRENT YEAR COST OF PRESENT EQUIPMENT COL. (A)	FIRST YEAR COST OF PROPOSED EQUIPMENT COL. (B)
20. Prorated Annual Rehabilitation Cost	$ 4,150	
21. Maintenance *(Direct Labor, Overhead Labor, and Parts)*	$ 550	*Enter figure from Line 19*
22. SUBTOTAL	($ 4,690)	$ 3,788
23. Direct Labor - operations	$	$
24. Material *(Fuel, Oil, Tires, and Consumables)*	$ 100	$ 100
25. Misc. Factors *(Describe)*	$	$
26. Total Costs	$ 4,790	$ 3,888
27. NET DIFFERENCE FAVORING PROPOSED EQUIPMENT *(Line 26, Col. A minus Line 26, Col. B)*		$ 902

E. EQUIPMENT RENTAL

28. ☐ RENTAL NOT FEASIBLE ☒ NO RENTAL SOURCE ☐ ANNUAL RENTAL COST $

F. COST EVALUATION AND REMARKS *(Continued on reverse side)*

29. INDICATED ACTION

(a) ☐ REHABILITATION OF PRESENT UNIT (b) ☐ RENTAL (c) ☐ PURCHASED FOR NEW OR INCREASED ALLOWANCE (d) ☒ REPLACEMENT — 5% SAVINGS

Include "Remarks" as Item 30 on reverse side and TYPE HEAD TO FOOT

S/N 0105-050-3000

FIGURE 8-15

REQUIREMENTS COST EVALUATION – TRANSPORTATION EQUIPMENT

Housing facilities and programs represent a significant portion of the investment in the Naval Shore Establishment. The management of these facilities and programs has an immediate and major influence upon the attitude and motivation of the serviceman. It is imperative that Public Works Officers and members of their civilian staffs associated with housing management be informed, interested, imaginative and proficient at all times. The leadership and motivation they provide to the Naval community must be sound, responsive and professional housing management. The real challenge in military housing management is to develop the interest and participation of all members and their dependents in maintaining orderliness, economy and standards of property care. This then, assures to each individual and the Naval community the pride of a wholesome, satisfying and normal American life.

In this manual, housing management includes family and bachelor housing. At the field activity level, the two types of housing are usually separately managed. They are discussed separately and in detail in this chapter. For continuity purposes, the temporary lodgings, program, mobile home parks and guest houses are also included.

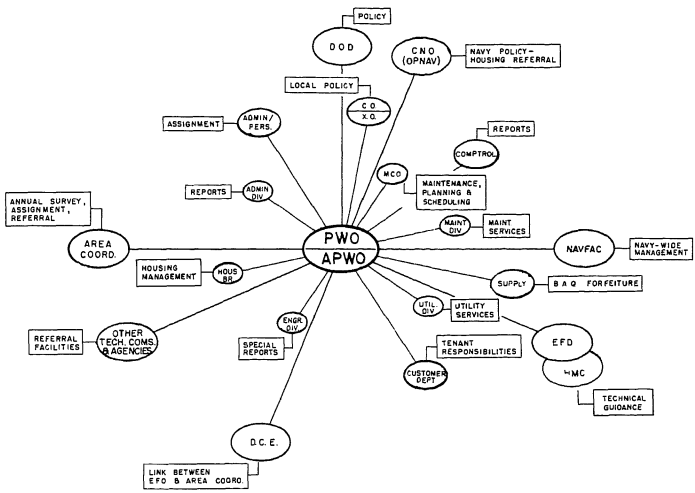


FIGURE 9-1
THE PLAYERS IN HOUSING MANAGEMENT

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1. OPNAVINST 11000.8 (current), Subj: *Self-Help Programs for Personnel Support Facilities*
2. OPNAVINST 11010.1 (current), Subj: *Shore Installations and Facilities Planning and Programming*
3. OPNAVINST 11012.2 (current), Subj: *Occupancy Criteria for Assignment of Navy Bachelor Housing*
4. OPNAVINST 11101.13 (current), Subj: *Assignment, Utilization, and Occupancy Termination of Family Housing...* The Bible for Eligibility and Assignment Priority
5. OPNAVINST 11101.19 (current), Subj: *Operation and Maintenance of Flags and Commanding Officers Quarters*
6. OPNAVINST 11101.21 (current), Subj: *Housing Referral Service Guidelines, Procedures, and Reports*
7. OPNAVINST 11101.22 (current), Subj: *Family Housing for Civilian Employees at Research and Development Institutions*
8. OPNAVINST 11101.27 (current), Subj: *Occupant Responsibility for Maintenance of Family Housing*
9. OPNAVINST 11101.29 (current), Subj: *Assignment of Authority and Responsibility for Family Housing*
10. OPNAVINST 11101.32 (current), Subj: *Provision of Furnishings for Family and Bachelor Housing*
11. OPNAVINST 11101.34 (current), Subj: *Use of Special Assistance Programs of HUD to Provide Housing for Military Families*
12. OPNAVINST 11107.2 (current), Subj: *Acquisition and Operation of Temporary Lodging Facilities (NAVY LODGES)*
13. BUPERSINST 11101.3 (current), Subj: *Transient Family Accommodations for Fleet Personnel of Ships Undergoing Overhaul or Repair*
14. NAVFACINST 11101.91 (current), Subj: *Survey of Family and Bachelor Housing Requirements*
15. NAVFAC DM-35, *Family Housing*
16. NAVFAC DM-36, *Troop Housing*
17. NAVFAC DM-37, *Community Facilities*
18. NAVFAC P-34, *Specifications Used in Contracts for Public Works*
19. NAVFAC P-272, *Definitive Designs for Naval Shore Facilities*
20. NAVFAC P-308, *Family Housing Inventory*
21. NAVFAC P-352, *Housing Administration...* The principle Handbbok for Housing Management
22. NAVFAC P-383, *Children's Play Areas and Equipment*
23. NAVFAC P-700, (series), *Engineered Performance Standards*
24. NAVFAC MO-321, *Maintenance Management of Shore Facilities*
25. NAVFAC MO-322, *Inspection of Shore Facilities* (3 volumes)
26. NAVCOMPT MANUAL Volume III, Chapter 7, Part E
27. NAVCOMPT MANUAL 035851

1. **Organizations**

Area Coordinator (Housing) (AC) — The district commandant, naval force commander, or naval base commander, (flag officer) for his assigned area of coordination.

Housing Authority (HA) — The officer who is charged by the AC with the responsibility of making local assignment and termination policy and administration of waiting lists for assignment. Normally, this would be the commanding officer of a station with family housing assets, or a base commander.

Housing Officer/Manager — Military officer or civil service employee charged with responsibility for day-to-day administration and management of Navy family housing, and Housing Referral Services.

2. **Other Definitions**

Active Housing — All military family housing units available for occupancy or occupied including those temporarily unoccupied due to routine maintenance or repair.

Adequate Housing — Public Quarters for which full basic allowance for quarters (BAQ) may be withheld when assigned to military members.

Assignment — Action taken in writing to confer to an individual the right to occupy government quarters.

Billet Quarters — Quarters designated by the Area Coordinator or his designee for occupancy by the incumbent of a specific position. Billet quarters will be designated only for those few positions which carry such significant operational stress, responsibility and seniority as to warrant assignemtn of the incumbent to a particular set of quarters without regard to the family size of the incumbent.

Civilian Employees — Department of Defense and nonappropriated fund employees.

Command Quarters — Quarters specifically designated by the Chief of Naval Operations for occupancy by commanding officers. Designation is limited normally to a Captain (0-6) with a command in excess of 500 military/civilian personnel.

Command Sponsored Families — Families of military members assigned to duty outside of CONUS which have the approval of the command to which the member is assigned to accompany or join the member.

Community Housing — Private housing in local communities in the vicinity of the installation.

CONUS — The 48 contiguous states and the District of Columbia.

Conversion — To change the use of facilities to family quarters or to combine family quarters.

Diversion — To make government quarters available for other than family housing use.

Eligible Civilian Personnel (for family housing) — Department of Defense and nonappropriated fund employees as defined in OPNAVINST 11101.13 (current).

Eligible Military Personnel (for family housing) — Military personnel, both men and women with accompanying dependents, in pay grade E-4 and over 2 years of service and senior.

Flag Quarters — Quarters designated by major claimants for occupancy by officers of flag rank.

Foreign — All areas excluding CONUS and U.S. overseas.

Government Quarters — Housing units which the DOD owns, leases, obtains by permit, or for which the DOD contracts, including contract housing, purchase order housing or other government funded housing support.

Homeport — Location at which ship, squadron, or other deployable fleet unit is assigned for administrative purposes (as designated by OPNAVINST 3111.14U).

Housing Referral Office — An organizational unit within the Family Housing Office whose main purpose is to assist military personnel and their families in locating suitable community housing.

Inactive Housing — Military family housing units which have been placed in a caretaker status and are not available for occupancy for reasons other than routine maintenance and clean-up.

Inadequate Housing — DOD controlled housing not classified as adequate by CNO (OP-44H) which is operated on an adjusted BAQ or rental basis.

Ineligible Personnel (for military family housing) — Military personnel with accompanying families who are below the rate of eligible personnel and all military personnel without dependents.

Key and Essential Billets — Billets so designated by the Area Coordinator or his designee because of military

DOD which were obtained by entering into a lease agreement.

Military Family Housing — A term encompassing all categories of Navy operated family housing.

Nonappropriated Fund Employees (NAF) — Civilians employed by and paid from nonappropriated fund instrumentalities of the Department of Defense.

Occupancy — The habitation of family housing which have been assigned to military or civilian personnel.

Oversea — Outside CONUS, Alaska, Hawaii, and U.S. Possessions.

Permanent Duty Station — Location to where units other than ships or ship based staffs are assigned for duty. (Comparable to homeport assignment for ships.)

Private Housing — Quarters not provided by the government.

Adequate Public Quarters — Quarters for which full basic allowance for quarters (BAQ) is withheld when assigned to military members.

Quarters — All living accommodations.

Substandard Housing — Same as inadequate housing.

Temporary Housing — Quarters not identified on property records as military family housing, used in a manner similar to hotels, motels, or guest houses for temporary occupancy of military personnel and their families.

Unaccompanied Family — A military family whose sponsor is serving a tour of duty outside CONUS without the presence of his family.

United States — The 50 states, the District of Columbia and U.S. Possessions.

U.S. Overseas — Alaska, Hawaii and U.S. Possessions.

U.S. Possessions — Outlying areas of the United States, including Puerto Rico, Canal Zone, Virgin Islands, Minor Caribbean Islands, American Samoa, Wake and Midway Islands and Guam.

Utilization — The effective use of public quarters for the purpose intended.

Worldwide — CONUS, U.S. overseas, and foreign, combined.

PART 1 — FAMILY HOUSING

9.1.1 General Policy. It is the objective of the Family Housing Program to assure that married career military personnel have adequate, economic housing in which to shelter their families.

A. Communities near military installations will be relied on as the primary source of family housing for military personnel.

1. Government-owned housing will not be programmed (unless military personnel must live on a Government installation for reasons of military necessity) where the community has the capacity to provide satisfactory rental housing for military personnel at no serious financial sacrifice to them.

2. Where little or no community housing is available, or where community housing is available but the location, quality, or cost creates a distinct hazard or hardship for military families, Government-owned housing may be built to meet valid requirements. However, all reasonable precautions will be taken to preclude overbuilding and avoid harmful impact on local housing markets.

B. Although houses which have been purchased by free choice of the military occupant and certain other houses occupied by military owners will be considered in determining the military need, vacant "for sale" housing will not generally be considered in making this determination. Military personnel are transferred every two or three years and should not be subjected to the financial risk and expense of home purchase in order to provide shelter for their families.

9.2.1 Responsibilities, Function and Staffing. This section discusses management, responsibilities, functions and staffing for family housing from the DOD level to the Shore Activity level. Family housing organizational relationships are shown in Figure 9-2. For more detailed discussion refer to NAVFAC P-352.

A. Management Responsibilities.

1. Departmental Level

a. Secretary of Defense. The Secretary of Defense exercises control over and administers military family housing as a centrally managed and funded "program element" (hereinafter referred to as the housing program) of the Department of Defense (DOD) programming system. Executive direction of the program is assigned to the Assistant Secretary of Defense (Installations and Logistics) who is the appropriation sponsor to the Congress for military family housing for all of the military departments and DOD agencies. The ADS (I&L) exercises direction through a Deputy Assistant Secretary of Defense for Installations and Housing (DADSD IH). Appropriations for the construciton, acquisition, operation, and maintenance of housing facilities, and for the administration of housing functions flow into a which includes all properties, real and chattel, supported by the FHMA. The Secretary of Defense controls and administers the family housing program within the military department, through the respective secretaries.

b. Secretary of the Navy (SECNAV). The Secretary of the Navy is responsible for implementation of the policies and programs of the Department of Defense; however, the responsibility for administration of family housing within the Department of the Navy is assigned to the Assistant Secretary of the Navy (Installations and Logistics) — ASN (I&L). As principal advisor and assistant to SECNAV for family housing, ASN (I&L) is particularly concerned with acquisition and disposal actions; coordination and direction of the management and program actions of the Chief of Naval Operations (CNO) and the Commandant of the Marine Corps (CMC); and approval of programs and projects recommended by the CNO and the CMC.

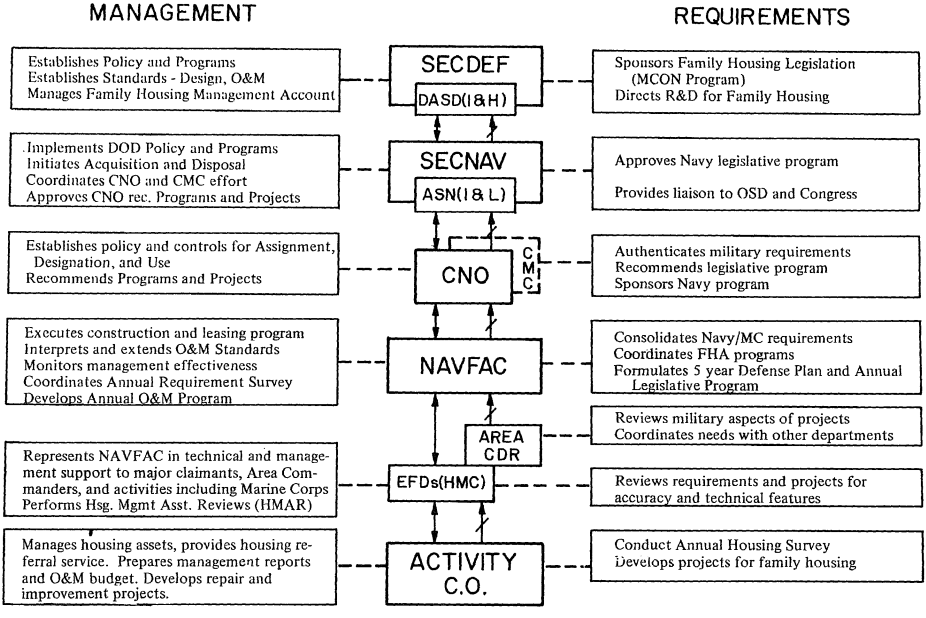
c. Chief of Naval Operations (CNO). The CNO has total responsibility for the management of family housing at all Naval shore activities. Functions of a military or area nature are administered through the Naval District Commandants and area coordinators. Typical examples would be the allocation, assignment and utilization of Government-owned or controlled housing and referral of servicemen to available community housing.

Matters of a technical or financial nature are channeled through the Commander, Naval Facilities Engineering Command (NAVFAC) and the NAVFAC Field Divisions. Budgeting, funding, special projects and maintenance standards are examples of matters administered through NAVFAC.

In addition, CNO is responsible to ASN (I&L) for recommending, with the concurrence of CMC, consolidated annual legislative proposals and programs concerned with acquisition improvement, maintenance and operation or disposal of family housing for the entire Department of the Navy. CNO is thus considered to be the program sponsor and coordinator for these matters.

d. Commandant of the Marine Corps (CMC). The CMC fulfills the same management and military responsibilities for Marine Corps commanded shore activities as does the CNO for Navy commanded shore activities. To maximize uniformity and integration within the Department of the Navy, the CMC administers family housing in accordance with the principles, standards, controls, cost accounts and reporting systems applied by the CNO to Navy housing.

e. The Commander, Naval Facilities Engineering Command. Under the CNO and the Chief of Naval Material the Commander, Naval Facilities Engineering Command (NAVFAC) manages, maintains and operates Navy family housing, monitors management effectiveness through periodic on-site inspections and analysis of performance reports; formulates budgets and legislative


MANAGEMENT
REQUIREMENTS
Establishes Policy and Programs
Establishes Standards - Design, O&M
Manages Family Housing Management Account
SECDEF
DASD(I&H)
Sponsors Family Housing Legislation (MCON Program)
Directs R&D for Family Housing
Implements DOD Policy and Programs
Initiates Acquisition and Disposal
Coordinates CNO and CMC effort
Approves CNO rec. Programs and Projects
SECNAV
ASN(I&L)
Approves Navy legislative program
Provides liaison to OSD and Congress
Establishes policy and controls for Assignment, Designation, and Use
Recommends Programs and Projects
CNO
CMC
Authenticates military requirements
Recommends legislative program
Sponsors Navy program
Executes construction and leasing program
Interprets and extends O&M Standards
Monitors management effectiveness
Coordinates Annual Requirement Survey
Develops Annual O&M Program
NAVFAC
Consolidates Navy/MC requirements
Coordinates FHA programs
Formulates 5 year Defense Plan and Annual Legislative Program
AREA CDR
Reviews military aspects of projects
Coordinates needs with other departments
Represents NAVFAC in technical and management support to major claimants, Area Commanders, and activities including Marine Corps
Performs Hsg. Mgmt Asst. Reviews (HMAR)
EFDs(HMC)
Reviews requirements and projects for accuracy and technical features
Manages housing assets, provides housing referral service. Prepares management reports and O&M budget. Develops repair and improvement projects.
ACTIVITY C.O.
Conduct Annual Housing Survey
Develops projects for family housing

(2) Formulates and coordinates, with the concurrence of the Commandant of the Marine Corps where appropriate, the Department of the Navy annual legislative proposals for submittal by the Chief of Naval Operations to the Assistant Secretary of the Navy (Installations and Logistics).

(3) Conducts surveys and formulates and recommends to the CNO construction, leasing, and other acquisitions to meet requirements at Navy activities. Justifies approved projects to the Office of the Secretary of Defense and the Congress.

(4) Develops and monitors, with concurrence of the CMC for Marine Corps commanded activities, improvement projects for the Department of the Navy.

(5) Develops and justifies for CNO the Navy Five Year Defense Plan and annual budget requirements for family housing.

(6) Selects sites for Department of the Navy family housing construction, with concurrence of the CMC for construction at Marine Corps commanded activities, and obtains required approvals therefore.

(7) Establishes criteria and standards for, plans, designs, and constructs family housing for the Department of the Navy.

(8) Establishes and maintains central inventory and use records and reporting systems for Department of the Navy.

(9) Administers, budgets, and finances housing referral services.

(10) Administers relations with FHA, mortagees, private management, and others with respect to applicable projects under the National Housing Act.

2. Middle Management Level

a. Naval District Commandants and Area Commanders. Coordinate and recommend the acquisition (construction, leasing, other) of family housing to meet the requirements of the Navy within assigned coordination areas, including Marine Corps requirements at Naval Complexes; and implement assignment policies established by OPNAVINST 11101.3 (current).

b. NAVFAC Engineering Field Divisions (EFDs). The Commanding Officers of the EFDs represent and act for the Commander, NAVFAC, in providing primary support for the Navy Family Housing Program. The consolidation of the EFDs in 1970 realigned the housing functions of the former 13 geographical EFDs among the surviving 6 field divisions. The realignment provided for improved operations and more effective response by NAVFAC to meet its housing responsibility.

In addition, it brought about closer ties with the major claimants of the unilinear Navy. At the Atlantic, Chesapeake and Pacific Divisions and at the Naval operation of their family housing assets. Family housing budgets are submitted to the HMCs for evaluation and funding. The HMCs are also, with the exception of the SOUTHNAVFACENGCOMBRO, the principal staff advisors to the Naval District Commandants and Area Commanders in housing matters. At the Northern, Southern and Western Divisions the Commanding Officer is assigned additional duty as the District Civil Engineer (DCE) and, through a staff assistant, provides technical and administrative support to the Commandants of the Naval Districts or the Area Commanders.

3. Shore (Field) Activities

a. Commanding officers of shore activities are responsible for insuring that the family housing under their jurisdiction is effectively managed and that the servicemen and civilian employees eligible for family housing have adequate opportunity to occupy government quarters. In addition, the commanding officer is responsible for advising higher authorities of the requirements at his activity for additional family housing facilities, and for essential repairs and improvements.

b. Public Works Officer. The Commanding Officer delegates to you the responsibility for supervising and directing the family housing program at your activity. Since family housing is but one of the many functional programs of the Public Works Department, you must rely upon the Housing Manager for the day-to-day direction and control of the housing program.

One way in which you, as the staff advisor on housing matters, can provide real and effective assistance to the Family Housing Program is to establish necessary operating policies with your Commanding Officer and Housing Manager, and coordinate command support in operating by the policies.

Your role in housing management is a very important one, you must keep yourself informed about the operations, but without becoming involved with the minor details. Through periodic briefings, the Housing Manager can keep you abreast of achievements, potential problem areas, and matters that may demand command attention. Utilization or occupancy of the units, and status of funds are two specific aspects of the program with which you should be familiar. Two reports required by NAVCOMPT and NAVFAC can provide you with current information.

The Housing Cost Report reports the expenditure of housing funds for maintenance and operations by Category of Housing Elements or Cost and Cost Accounts. The semi-annual NAVFAC 8-11101/13 reports how well you are using your housing units. You should know how these reports are developed, what the ultimate uses are, and what they tell about your activity, especially to a reviewer in a position to influence the amount of funds you receive. (Specimen copies of the reports are included in Part 3 of this Chapter.)

c. Housing Manager. This is the person to whom you delegate the responsibility for executing and

Obviously, his primary allegiance must be to the first two groups. Nevertheless, he can foster good community relations by making the civilian population aware of the military requirements for family housing.

His actions are governed generally by published rules and regulations which are listed in the NAVFAC P-352 and other directives. A glance at these will convince you that he has a responsible position. Therefore, he deserves your full cooperation and all the command support you can give him.

B. Functions. The primary function of the Housing Division is the management of the activity's housing assets. To this end, its effort is more directional and controlling in nature than actual execution or performance. Particular attention is focused upon maximizing the availability or utilization of the housing, while maintaining it at the lowest feasible cost consistent with the design life and preservation of the facilities.

A more recent function of the Housing Division is the provision of Off-Base Referral service. The service assists military and civilian personnel who are unable to obtain Government-owned or controlled housing to locate suitable, economic, and non-discriminatory off-base housing. It also provides a necessary public relations link with the civilian community (refer to OPNAV Instruction 11101.21 (current)).

C. Staffing. Criteria for staffing the housing management function are detailed in NAVFAC P-352. The criteria relate manpower requirements to the workload generated by the number of units managed. For example, an activity with less than 40 units would usually assign the management functions on a collateral or part-time basis. Conversely, an activity managing 2000 units would have a staff of 10 or more depending on the number and types of units, the dispersion of projects and units, and other factors. Remember, the criteria applies only to staffing the management functions; employees whose salaries are paid from the FHMA.

Shops personnel and personnel performing housing referral functions are excluded from the NAVFAC criteria. Normally, the services of shops personnel are purchased on an as-needed basis. However, local conditions may warrant the continuing assignment of a limited number of shops employees to the Housing Office to perform emergency/service and change-of-occupant inspections functions. Nevertheless, these persons are not performing management functions and are not included in the staffing criteria limitations.

Personnel employed to perform the housing referal functions are separately allocated by the EFD and funded by NAVFAC through the cognizant HMC.

9.1.3 Requirements Program Planning

Although the authorization and appropriations for the Family Housing Program is separated from all other DOD facilities programs, it is a component of the Five-Year Defense Plan. Accordingly, the Navy's requirements for family housing must be periodically reestablished and the construction program updated. The basic policies and procedures for establishing family housing requirements are

A. Housing Requirements. The vehicle for determining the Navy's family housing requirements is the Annual Family Housing Survey. The information obtained from this survey is eventually presented to Congress in support of recommended housing projects. Accordingly, the survey results must reflect the local conditions as accurately and comprehensively as possible. Because of the impact of family housing on the morale and well-being of Navy families, Command attention must be directed to the conduct of family housing surveys. It is customary for the Commanding Officer to assign primary responsibility for the supervising and directing of the survey to the Activity Public Works Officer and his staff. The mechanics for conducting the survey are well defined in the NAVFAC Publication and Directives referenced in the previous paragraph and are not repeated here. However, your initial concern should be in selecting and indoctrinating the members of the survey teams.

1. The Annual Survey. The survey represents your local conditions as of 31 January of the year in which the survey is conducted. It is essential that the survey include all tenant commands at a particular shore activity as well as those supported commands that are homeported at that activity but may be temporarily deployed away from the homeport. The accuracy of the survey depends upon the quantity and the quality of the information that is received from military personnel with dependents and key civilian personnel. One of the most exacting requirements placed on a survey team is that they personally audit and verify the information on the questionnaires that are returned from the eligible personnel. Inaccurate information can have a severe and adverse effect upon your activity's chances of acquiring the additional urgently needed units and/or replacement of inadequate units.

In addition to polling the eligible military and civilian personnel, the survey team must obtain a detailed inventory of suitable vacant privately-owned rental units in the adjacent community, and those planned or under construction. The following basic documents are used in establishing requirements.

a. Form NAVFAC 11101/22, Questionnaire on Family Housing. This form is the basic document in all surveys. It is used as the primary souce of information on existing housing conditions as of the survey date.

b. DD Form 1377, Tabulation of Family Housing Survey. This form is a compilation of the data from the questionnaires and other input documents. It is completely computerized and produced on pre-printed forms which do not require transcription.

c. DD Form 1378, Determination of Housing Requirements and Project Composition. In this form data from DD Form 1377 is combined with projected personnel and military housing data for determination of projected requirements and project composition. This form is also completely automated and converted to a preprinted form.

d. DD Form 1379, Narrative on Family Housing. A narrative description of the mission, area, local

housing conditions, military inventory, and justification for any proposed programs is reported on the DD Form 1379.

2. Preparation of Housing Surveys. Instructions for the preparation of the foregoing documents, with sample forms, are contained in NAVFAC P-352, *Housing Administration*. In addition, detailed guidance, covering the conduct of surveys, the tabulations required, and preparation of input documents, card key punching of the input documents required for automatic data processing are published in NAVFACINST 11101.91 (current).

3. Evaluation of Survey Data. Evaluation of the tabulated information obtained from the questionnaires provides you with both quantitative and qualitative data as to your gross requirements for family housing units. The determination of the *net deficit*, which is the basis for initiation of future projects, requires consideration of several factors.

a. Gross Housing Requirements. The first factor to determine is the *lowest* projected military personnel strength level expected *at your activity*, including tenant activities, for the period of the next five years. This computation should conform to the latest CNO base loading data provided by NAVFAC for this purpose.

The projected base loading must be adjusted by your activity's actual marital rate factors. These factors should be computed on no less a period than three years. If you are unable to obtain local experience data, use the Navy-wide averages — available from BUPERS. The result of the computations is the "Gross Housing Requirements" for your activity.

b. Net Housing Deficit. To determine if your activity has a deficit of family housing, the Gross Housing Requirement must be reduced by the amount of current adequate assets. Tabulation of the assets must include all suitable existing and vacant community units as well as all adequate and occupied inadequate Government-owned and controlled units existing and approved. The resulting deficit, if any, is then the basis for your request for additional units.

4. Other Uses of Family Housing Surveys. The data gathered during the annual family housing surveys have several other potential planning uses. It is used to validate and support other MILCON projects. For example, personnel data obtained for Bachelor Housing Surveys must be compatible with that obtained during Family Housing Surveys.

B. Housing Program Planning

1. Programming. Annual programs will include provision for improvements to existing assets as well as new construction when justified to meet a net deficit of family housing. The type and amount of housing to be programmed for each installation will be governed by the length of time the installation will be used; lowest predictable strength level to be maintained; adequacy of existing community support

a. Long Range. Minimum of five years, with no predictable reduction thereafter. There should be reasonable expectation that recovery on construction costs can be made from the quarters allowances saved.

b. Uncertain Duration. Minimum of five years with duration thereafter unpredictable.

c. Short Range. Less than five years.

d. Terminal Need. Present and pipeline military assets plus private assets exceed eighty percent of gross requirements.

2. Net Housing Deficit. The establishment of a net housing deficit is not tantamount to approval for the acquisition of additional facilities. It does provide documentary evidence of an inadequacy at your activity and open an avenue of communication through your Commandant/Area Coordinator, EFD, and NAVFAC to explore the chances for including a project in a future legislative program.

3. Programming the Deficit. The type and number of units that may be programmed will be governed by the duration of need for your activity; legislative and administrative programming limitations; predictable changes in availability of adequate private housing; and other factors. Further, acquisition of additional units may be by leasing suitable community housing, improvements of existing inadequate or substandard units, construction of new units, or a combination of sources.

4. Revalidation of Deficit. Data obtained from subsequent annual surveys may further support and validate your requirement for additional units. Conversely, the data may not support your previously established requirements, and NAVFAC will then reprogram appropriately.

5. Other Sources of Housing. Where a long-range housing requirement exists which cannot be satisfied with existing adequate assets and foreseeable new government-owned units, you should seek assistance from community and other Federal agencies. Contact should be established with local governmental officials, the Chamber of Commerce, and real estate boards; and the FHA and VA representatives. Use of HUD special assistance programs should also be fully explored as a means of meeting the needs of military and essential civilian families. Detailed information is contained in OPNAVINSTS 11101.22 and 11101.34, and NAVFAC P-352. To ensure that Navy personnel and their dependents are quickly, adequately, suitably, and economically housed in reasonable proximity to their duty station or homeports, Housing Referral Offices have been established to assist such personnel in locating housing on a non-discriminatory basis. Details on responsibilities, policy, and procedures for housing referral services are covered in OPNAVINST 11101.21 (current).

C. Military In-Leasing Program

1. Scope. This program provides, by means of

2. **Cost Limitations.** Expenditures for the rental of such housing facilities are governed by law and publicized ANNUALLY based on annual legislative changes.

3. **The Domestic Leasing Program.** This program is governed by Public Law 84-161 as amended and includes family housing leased in the United States, including Hawaii and Alaska, and Puerto Rico, and Guam.

a. **Requirements.** Domestic leasing is authorized only when the Secretary of Defense, or his designee, finds that there is a lack of adequate housing at or near a military installation and that (1) there has been a recent substantial temporary increase in military strength or (2) the permanent military strength is to be substantially reduced in the near future, or (3) the number of military personnel assigned is so small as to make the construction of family housing uneconomical, or (4) family housing is required for personnel attending service school academic courses on permanent change of station orders, or (5) family housing authorization request is in a pending military construction authorization bill.

4. **Foreign Leasing Program.** This program is authorized under Title 10, USC Section 2675 and includes leasing of family housing in foreign countries for Navy and civilian personnel including family housing leased and operated by the Navy as administrative agent for the other Military Services.

a. **Requirements.** The following OSD and CNO policies govern the foreign leasing program.

(1) Family housing leased in foreign countries shall be restricted to personnel in special positions or in those countries where excessive costs for housing would cause undue hardship. The DOD criteria for undue hardship includes (a) local custom requires advance rental payment for 3 or more months, (b) local restrictions preclude individual leases to foreign nationals, (c) living conditions are dangerous or unhealthy, and (d) there has been or will be a rapid influx of personnel as a result of force redeployment.

(2) Leasing shall be limited to personnel in ranks of 0-6 and above, and for individuals in lower ranks and civilians under conditions of undue hardship.

(3) Cost Limitations. The cost limitations for foreign leasing is administered by OSD. No lease can exceed the statutory limit.

D. **Mobile Home Parks**

1. **Policy.** Where the number of service personnel owning mobile homes is substantial and adequate private mobile home parks at reasonable rents and within acceptable distances are not sufficient to meet the requirement, projects for construction of Government parks may be programmed.

2. **Requirements.** Annual NAVFAC Notices provide information and establish instructions for surveying mobile park requirements.

3. **Operation of Mobile Home Parks.** Standards,

1. **Policy.** The Navy policy is to make maximum use of services and facilities available in the adjacent civilian community. Navy funds are not to be expended to duplicate services or facilities which are available from other private or public sources. Community services and facilities such as fire and police protection, transportation, recreational and welfare facilities, and commercial facilities may be provided with Navy funds to the extend that funds are available.

2. **Requirements.** The effect of a proposed family housing project upon community services and facilities, driving patterns and highway or station road capacities must be considered simultaneously with the planning of the housing units.

a. **Community Survey.** A community survey should be conducted to determine what additions or changes will be necessary as a result of the increase in Navy Family Housing.

b. **Programming and Funding.** The requirements developed by the community survey should be covered by line item submissions to the appropriate bureau or command for sponsorship in the military construction program at the same time that the housing is programmed.

Those facilities serving family housing exclusively may be programmed for funding from FHMA funds. Other community facilities are sponsored by the activity's management bureau or command if funded with appropriated funds, or by BUPERS if to be funded by non-appropriated funds.

c. **Schools and School Buses.** The need for school facilities and school bus services to serve the housing area should be determined in coordination with local school authorities. When additional facilities will be needed, the local education board should be furnished the substantiating data which is needed for forwarding to the Department of Health, Education, and Welfare. It should be recognized that local and Federal officials face leadtime considerations in programming, funding and construction of school facilities, similar to those encountered in housing construction. Therefore, timely and continuing exchange of information is essential to planning for any required school facilities.

d. **Commercial Facilities.** In planning Navy housing projects, the need for commercial facilities must be considered. Sales and service facilities should be sought first through private sources. If private investors do not develop the necessary facilities, action should be taken for their provision by the Navy.

e. **Recreation Facilities.** The Family Housing Management Account provides a formal and uniform means of funding playground and other recreation facilities for family housing projects with new construciton or as improvements to existing housing projects. The following principles govern the provision and support of recreation facilities in connection with Navy developed and controlled family housing areas:

(1) Maximum use should be made of general community resources, existing station facilities, and

development for recreation use, in accordance with sound site planning for the size of the project.

(3) Minor facilities for preschool children such as fencing and paving of small areas and installed equipment such as sandboxes and slides should normally be provided adjacent to apartment-type dwellings without individual tenant yards. (Refer to NAVFAC P-383, "Children's Play Areas Need Equipment.")

(4) Improvements to recreation facilities at existing housing projects, and for new housing, other than the minor facilities mentioned above, should be by construction project, with the same submission and approval requirements, funding limitations, etc., as currently apply to improvement projects.

(5) Recreation construction items for existing and future housing projects, should be considered for programming under the FHMA provided the following criteria are satisfied.

(a) The facility is located within the family housing area.

(b) The facility will be used solely by the occupants of the family housing area.

Funds available to the FHMA are extremely limited, and are programmed to satisfy only the most urgent requirements. Therefore, major facilities such as swimming pools, bowling alleys, field houses, and community centers which provide universal usage, should be programmed as part of general station facilities, and not as family housing facilities.

Until technical criteria governing size and scope of recreation facilities which may be provided under the FHMA are promulgated, questions in this area should be referred to NAVFAC.

3. Design Criteria. NAVFAC DM-35, *Family Housing*, contains architecural and technical aspects of family housing and site planning, and site selection procedures. Design criteria for frequently constructed community support facilities are published in NAVFAC DM-37, *Community Facilities*, and NAVFAC P-272, *Definitive Designs for Naval Shore Facilities*. These publications include such family housing support structures as dependent schools, chapels, theaters, commissary stores, clubs and recreational facilities.

4. Guest or Transient Housing. Guest and transient facilities are under the cognizance of BUPERS or Supply Systems Command and are not supported by FHMA funds. Directives governing the operation of these facilities are published by the responsible Bureau or Command.

9.1.4 Assignment and Utilization

This section is concerned with the principal procedures used in the inventory, assignment, and utilization of family housing.

1. Classification. Classifications are used primarily (1) to identify housing units by distinctive characteristics; (2) to identify and group housing for reporting and budgeting purposes; and (3) as a basis for statistical purposes. Classifications describe housing by design type, degree of permanence, source, financial arrangement and several other characteristics. Some of the more frequently used classifications are discussed below:

a. Adequacy or Measure of Liability. Units that meet or exceed the standard of DOD Instruction 4165.34 are designated as *"Adequate"* housing. Units that did not meet the DOD criteria are classified as *"Inadequate Public Quarters."* For inventory purposes they are identified as *"Substantial Housing."*

b. Categories and Types. These classifications relate housing to the legislative or financial procedures by which they were acquired. They are used as the basis for inventory and utilization only. The major categories of housing used for budgeting and cost accounting are found in NAVCOMPT Manual, Volume III, Chapter 7, Part E.

2. Designation. Designation is a procedure of identifying housing by intended occupant. It is an official action by CNO or his designee to provide for an equitable distribution of family housing by rate, rank and, in specific instances, billet. The policy on designation is contained in OPNAV Instruction 11101.13 (current).

Authority to designate and assign flag quarters and command quarters is retained by CNO. Authority to designate flag quarters is delegated to major claimant and designation of other categories of quarters is delegated to area coordinators, who in turn may redelegate such authority to sub-area coordinators or activity Commanding Officers. Designations conform to the following minimum categories:

Flag Quarters
Command Quarters
Senior Officers Quarters, 06
Field Grade Officers Quarters, 04 to 05
Company Grade Officers Quarters, 0-1 to 0-3; W-1 to W-4
Enlisted Quarters

Criteria for local sub-allocation within the above categories are contained in OPNAV Instruciton 11101.13 (current) and NAVFAC P-352. The criteria are not restrictive since the situation at activities differs in distribution of requirements and assets.

At overseas and isolated locations, some housing units may be designated for occupancy by civilian employees on a forfeiture of housing allowance basis. Housing units occupied by civilians retain their original classification as "Public Quarters" or "Substandard Housing" as appropriate.

3. Redesignation. When redesignation of family housing is necessary, it should be done between occupancies except in unusual circumstances. In any redesignation of

personnel to government quarters. The authority to assign flag officers to quarters not specifically designated as flag is retained by CNO.

1. **Policy.** The Navy policy is in general, that all personnel, afloat or shore-based, have equal opportunity for assignment to government housing, compatible with available assets. In making assignments to quarters, due consideration must be given to rank, billet, and family size.

Activities managing family housing are required to maintain waiting lists of all personnel eligible for housing. The lists are compiled by grade and rank, date of eligibility, *and* bedroom requirement. Detailed guidelines for maintaining, updating and stabilizing waiting lists are contained in OPNAV Instruction 11101.13 (current). All local assignment policies and procedures must conform to the requirements of that directive.

2. **Practice.** The influence of suitable family housing on the morale and retention of the servicemen is well recognized by higher authority. They are also aware of the fact that most eligible personnel prefer government quarters to community housing. However, a major problem exists in trying to satisfy the resultant requirements since the supply of government housing is but a small percentage of the demand.

In view of the above, the CNO expects that a serviceman will be able to estimate his prospects for government housing prior to reporting to a new homeport or duty station. Further, if government quarters will not be available upon reporting, the assigning activity is required to give him a written statement indicating what, if any, he may have for government housing during his tour of duty. Content of the statement must conform to OPNAV Instruction 11101.13 (current). The objectives of the requirement is to minimize hardship to the individual if involuntary assignment is made to government quarters at a later date.

One aspect of assignment that you, as the designated representative of the Commanding Officer, should watch very closely is the operation of waiting lists. Nothing can be more devastating to morale and confidence in command, than an improper adjustment of a waiting list. The lists are a mater of public record and are closely watched by those who are awaiting assignment. Adjustments must be held to a minimum, and only in cases of severe personnel hardship, or when in the best interests of government, should a late arrival of equivalent grade and rank be given priority over a person already on a waiting list. You should relieve the Housing Manager of making the final decisions on meritorious cases. Unless a specific board has been established to act on hardship cases, you should make the decision based upon established command policy.

3. **BAQ Procedures.** Military personnel occupying public quarters forfeit entitlement to BAQ or other housing allowances. If occupying inadequate public quarters, military personnel forfeit BAQ in an amount equal to the established rents and charges for quarters occupied. Policy and procedures for further adjustment of charges to 100% of BAQ for inadequate quarters are covered in P-352 as well as policies and procedures on establishment of rental rates and

C. Retention and Termination

1. **Retention of Quarters.** Normally, personnel assigned to government quarters retain occupancy rights until detached for other duty, retired, released from active duty, or their occupancy is terminated in the best interests of the government.

For reasons of hardship or emergency, an extension may be granted in accordance with OPNAV Instruction 11101.13 (current).

Personnel occupying government quarters who received orders for unaccompanied tours, are frequently permitted to retain the quarters, depending upon the availability of housing at the activity. For other exceptions refer to OPNAVINST 11101.13 (current).

2. **Termination.** Termination is the written action which terminates an individual's entitlement to occupancy of quarters. Termination is usually a routine administrative procedure and is not considered prejudicial to the individual.

In cases of non-compliance with local rules and regulations or improper conduct, the Commanding Officer may take action to evict the occupant. Similarly, if an individual declines to vacate public quarters on the date specified, and extended occupancy is not approved, the Commanding Officer may effect removal. Additional information is contained in NAVFAC P-352.

As PWO, you should ensure that the occupants are provided with an up-to-date copy of the rules and regulations to which they are subject, *and* that they understand that a condition for retention of the quarters is continued observance of the rules and regulations by them *and their dependents*. Vigorous and prompt action in cases of violations will help to minimize the necessity to take such drastic action.

D. Utilization

1. **Occupancy Standards.** Utilization is a measure of an activity's effectiveness in maximizing the occupancy of its housing assets. The SECDEF established the following utilization goal of 98% for adequate housing.

To attain this standard, most activities must achieve target occupancy rates of 99 percent to compensate for installations having unavoidable below standard rates. CNO prohibits keeping a non-billet unit vacant more than 10 days after it has been determined ready for occupancy. A unit designated by CNO for specific billet occupancy must not be vacant for more than three months.

2. **Factors Affecting Occupancy Rates.** Your activity's occupancy rates can be adversely affected by unforeseen or sudden movements of large numbers of eligible personnel. This usually results from:

Changes in homeport assignments;
Accelerated or early release of personnel;

Graduation of students from long term courses;
Disestablishment or transfer of mission functions.

Conversely, there are several compensating reasons why your occupancy rates should equal or exceed the targets. You can:

Require occupants to give ample advanced notice of proposed move-out.

Advise the next person on the waiting list to make preparations to move in without delay.

Make involuntary assignments to quarters.

Alert your shops as to the scope of work required and the date to begin work.

The higher your occupancy rate, the more public funds you conserve through savings of BAQ payments.

3. **Reports.** Two periodic reports prepared by the Housing Office provide you (and higher authority) with information on utilization of your housing assets. For details refer to NAVFAC P-352 (Appendix B).

NAVFAC Form 8-11101/13 "Housing Report" is prepared semi-annually (see Section 9.3.1). It reports utilization and BAQ forfeiture by types or categories of housing. If your occupancy rate is less than 9%, you should expect an explanation from your Housing Manager (which is also required to be included on the report). Even if your occupancy rate meets or exceeds the target, look further at the average number of days vacant between changes of occupants. Many activities average 2-3 days, which may include a weekend. Reduction of vacant days could significantly raise your occupancy rate.

DD For 1411, "Statement of Facilities and Assignment" is prepared annually as of 31 December (see Section 9.3.2). It provides a detailed listing of units by size (bedroom), by grade for which designated, and actual occupancy. You should ensure that the Housing Manager has reconciled the data on the "DD 1411" with the "8-11101/13s" for the same reporting method.

These reports are submitted by the activity to NAVFAC where summary reports on the entire Navy housing program are prepared for submission to SECDEF. Machine print-outs of the reports are provided by NAVFAC for each EFD and activity's use. Additional information on the basic reports is contained in NAVFAC P-352.

equipment include such items as stoves, refrigerators, freezers, clothes washers and dryers. OPNAV Instructions 11101.19 (current) and 11101.32 (current) set forth the policy concerning the position of quarters furnishings.

A. Furniture

1. **Policy within CONUS.** Personnel occupying Government-owned family housing within CONUS are required to use personally-owned furniture except for unusual circumstances, such as transient, short tour, special command, or student quarters. Furnishings are provided Flag and Commanding Officers quarters when official duties require frequent entertaining of visitors and dignitaries. Refer to OPNAV Instruction 11101.19 (current) for additional information concerning the policy and procedures for furnishing flag and commanding officers quarters.

Policy Outside CONUS. Government-owned furniture may be provided in Government-owned and controlled housing outside CONUS, as well as in private rentals where it is more economical for the Government to provide the furniture than to pay the expense of frequent shipment of personally-owned furniture. Where Government-owned furniture is provided overseas, the appropriate weight restrictions on the shipment of personally-owned household goods will be effected.

Replacement and Repair of Furnishings. Within CONUS, procurement of furniture is prohibited, except for special command, flag officer, commanding officer, student, transient, and short tour quarters. Most shore activities have a residual inventory of used furniture. Funds for repairs are not available except for those instances where furniture is authorized on a continuing basis. Furniture in excess of above requirements should be disposed of in accordance with OPNAVINST 11101.32 (current).

B. Equipment

1. **Policy.** Ranges and refrigerators are provided for all Government-owned and controlled family housing. The conditions under which additional Government-owned equipment such as clothes washers and dryers, freezers, and dishwashers may be authorized are summarized in OPNAVINST 11101.19 (current) and 11101.32 (current), and NAVFAC P-352.

C. Personally Owned Furniture and Equipment

1. Personnaly-owned equipment will not be used in lieu of Government-owned equipment, unless specifically authorized by the activity Commanding Officer. Where exceptions are granted, the occupants must be advised that Government funds will not be used for maintenance and repair of the personally-owned equipment.

2. **Moving and Storage.** The cost of moving, handling, and storage of privately-owned household goods

for installation of personally-owned labor-saving devices not provided by the Government. The Commanding Officer usually tasks the PWO with the responsibility of evaluating and approving or disapproving the requests. The PWO may further delegate to the Housing Manager the authority to approve requests up to a specific amount (i.e., $100).

The Housing Manager should supervise the installation of necessary utility connections, ensure that the equipment to be installed meets national standards for safety, control placement and removal of the equipment, and inspect any restoration of the premises that may be necessary.

a. **Costs Chargeable to FHMA.** When the facilities provided for the installation of occupant-owned equipment will be available to and benefit future occupants on a long-range basis; the cost of the installation should be charged to the FHMA, subject to the availability of funds.

b. **Costs Chargeable to Occupant.** When the facilities installed will not benefit future occupants on a long-range basis, the work, including any removal costs, should be accomplished at the occupants expense.

3. **Unauthorized Equipment.** Equipment not authorized for installation includes:

a. Airconditioning units requiring duct work, or fixed water or drain connections.
b. Attic or wall-type fans requiring permanent attachment to the building and structural modifications.
c. Built-in automatic dishwashers.
d. Domestic water heaters.
e. Electric or gas wall heaters.
f. Evaporative coolers requiring duct work.
g. Mechanical garbage disposal units.

D. **Procurement Planning**

1. **General.** The activity should have a planned replacement program for equipment and authorized furniture. In planning and budgeting for initial outfitting or replacement procurement of furniture for quarters authorized furnishings on a continuing basis first consideration must be acutal requirements rather than any fixed formula or routine replenishment of items beyond economical repair and listed in the "Table of Maximum Allowances" contained in OPNAVINST 11101.32 (current). The repair of household furniture should be limited to items authorized on a continuing basis.

2. **Repair and Replacement Limitations.** Criteria for repair or replacement of furniture based upon cost and age of items are delineated in OPNAVINST 11101.32 (current).

E. **Approval Authority.** Approval authorities for provision of furniture are delegated within certain dollar limits, established in OPNAVINSTs 11101.19 and 11101.32 (current) and NAVFAC P-352, to the commanding office's HMCs, and major claimants. Request exceeding these limits must be approved by Assistant Secretary of the Navy (I&L).

1. **Procurement Sources.** The primary source for procurement of furniture and equipment is GSA. Additional

9.1.6 Maintenance and Repairs

A. **Policy.** Family housing shall be maintained to a standard which will provide adequate and livable accommodations in good condition, protect the facilities from deterioration, and ensure economical maintenance and operating costs.

Maintenance funds shall be expended on the facilities only when there is a justified need, and will not be used solely on the basis of occupant's rank or billet. Excessive and unusual expenditures, which would not normally be incurred by the occupant as a homeowner, should be avoided. Such costs can result in undesirable criticism of the Navy. This applies especially to painting, equipment repairs, grounds care, alterations, additions, improvements, and other support costs attributable to occupant use of quarters assigned to personnel of senior rank and position. These quarters usually receive the closest scrutiny by reviewing authorities. Standards, criteria, and limitations discussed in this section, and the referenced directives, apply to all public quarters. They shall also apply, insofar as practical, to inadequate public quraters within the restriction that the cost of operating and maintaining inadequate public quarters may not be more than the income derived therefrom, except where the Commanding Officer has determined that a critical need for family housing exists.

B. **Occupant Maintenance.** The real challenge in managing family housing apart from maintaining the physical properties efficiently and economically, is to develop interest and participation of the occupants and their families in maintaining orderliness, economy, and standards of property care. Commonly referred to as the "attitude of the prudent home-owner," this can assure to the individual occupant and the entire Naval community, the pride of a wholesome and satisfying homelife.

1. **Background.** The Navy's policy is that occupants are responsible for performing the routine recurring housekeeping tasks which are normally performed by tenants in private housing. Tasks requiring the skill of an artisan or mechanic will be performed by government maintenance forces or a maintenance contractor wherever contractor forces are utilized. Refer to OPNAVINST 11101.27 (current).

2. **Occupant Responsibility.** The responsibilities assigned to the occupants will vary depending upon the house design, type of construction, condition or repair, ground conditions, and other physical factors which affect maintenance. Typical occupant maintenance tasks are listed in OPNAVINST 11101.27 (current). The extent of their responsibility must be identified and clearly defined. The most effective means of disseminating this and other detailed information is to, upon assignment, furnish occupants with a copy of an official manual or handbook.

You can save additional maintenance dollars by requiring occupants to perform some minor maintenance tasks that they would normally do if they lived in their own house. Instructions for such items as resetting switches, opening clogged drains, or replacing washers in leaking faucets should be included in the occupants handbook.

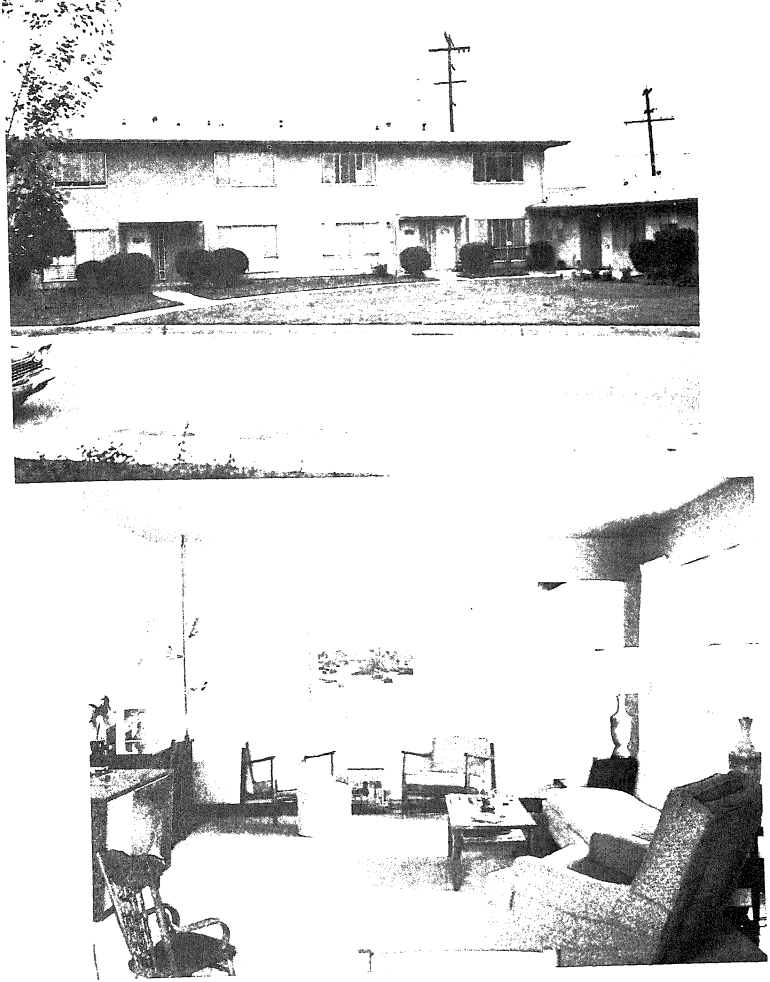


FIGURE 9-3
WHERRY HOUSING, NCBC, PORT HUENEME, CALIFORNIA
Reconditioned inadequate public quarters now classed as adequate, with four 3-bedroom and one 4-bedroom units.

FIGURE 9-3 (Cont'd)

information as is suggested in the sample format contained in NAVFAC P-352, Appendix C.

The tone of the handbook should promote an attitude of willing compliance by creating an overall impression of persuasion that the regulations are mutually beneficial to management and the occupant. The handbook should be updated periodically.

4. Incentives. The success of an Occupant Maintenance Program requires recognition of the occupant's effort. If not already established you, as Public Works Officer, should consider initiating a program of suitable awards, certificates, letters of appreciation, and other means of showing appreciation for a job well done. Whenever possible, request the Commanding Officer to personally present the awards and ensure that the program receives wide publicity in activity newspapers, plans of the day, and other appropriate media.

C. Condition of Quarters. Occupants should expect to move into clean, well-kept quarters and be required upon vacating to turn them over in a similar condition. Upon assignments to quarters, and again upon termination of occupancy, a joint inspection of the quarters and inventory of property should be made by a representative of the Housing Office and the occupant. Condition reports should be prepared indicating the condition of the quarters, grounds, and each item of government-owned furniture and equipment.

D. Occupants Liability for Damage or Loss. The fact that an occupant is responsible for damage to or loss of government property should be spelled out in the handbook. During the pretermination inspection, the extent of damages or loss arising from willful or malicious acts or negligence, if any, should be determined and the cost of repairs or replacements estimated. The occupant should be promptly advised of his liabilities, and be required to voluntarily reimburse the government for the damages or make repairs. Detailed procedures for effective collection damages or loss are contained in NAVFAC P-352, Chapter 7.

E. Activity Responsibility. The activity is responsible for the performance of maintenance that requires skilled or semi-skilled mechanics or artisans. The Commanding Officer expects that you will ensure that adequate, economical maintenance is provided for family housing.

1. Maintenance Planning. Your activity's family housing maintenance program, to be effective, must be based on a well defined maintenance plan. The plan is a necessary tool which assists you and the housing manager in both managing and budgeting functions.

In planning for maintenance, the housing manager should consider the availability of funds, availability of station forces, availability of units for maintenance, climate and weather conditions, and action to minimize disturbance, annoyance, or hazards to occupants. Emphasis will provide a projection of maintenance required. The plan can be simple, allow for cyclic maintenance on a rational basis, and be compatible with the Navy's maintenance management system, even in the face of what might appear to be a highly variable workload. Maximum use shall be made of engineered performance standards in determining the dollars to be invested over cycle spans. The economics of contracting large segments of the maintenance work or contracting seasonal peak loads only, shall be fully and objectively analyzed, giving due regard to the availability and capability of contractual forces. The maintenance plan shall be confined to requirements rather than previous or expected levels of expenditures. The plan must provide:

a. A systematic method for identifying persistent maintenance problems, minimizing marginally productive costs, and encouraging continuing improved managerial methods.

b. A means for directing funds to approved projects rather than continue to be utilized for marginally productive routine maintenance.

c. A documented record of managerial actions which will provide valuable information to housing and maintenance managers and to higher authority to assess the potential workload and the activity's capability of performing the work.

To encourage a realistic family housing maintenance plan, commanding officers are given sufficient latitude to adapt the plan to the needs of their activity, particularly in the identification of major non-recurring items to be afforded intensive management attention and in setting the time frame for accomplishment. To be successful, the plan must stress improved forecasting and definition of maintenance requirements and coordination between the housing management office and the commanding officer/public works officer, and other concerned parties.

The objective of the maintenance plan is to: (1) identify and summarize the true and essential dollar support level required to provide decent family housing consistent with the anticipated economic life of the facility, (2) to establish an execution plan for work accomplishment within available funds for the current year and provide a basis for identifying funding requirements in the following budget year.

2. Work Generation and Input. The maintenance plan for your activity must be implemented according to the concepts, procedures, and controls of the maintenance management systems, continuous inspections, and engineered performance standards systems described in NAVFAC MO-321, MO-322 and NAVDOCKS P-700.0. Those systems contain the prerequisite principles for effective and efficient operation of family housing.

to the government without impairment of the quality of maintenance and when not precluded by other factors, or

b. Performance of specific items of maintenance or repair, or the provision of specific services are beyond the capability of government forces due to lack of specialized skills, equipment or capacity, or requirements are for short-term periods of peak workload. In this regard, the availability and suitability of service contracts through the General Services Administration and other agencies, for such work as equipment and furniture maintenance and repair, should be considered. Care must be exercised to distinguish the nature of these contracts in terms of construction and repair work, subject to the Davis-Bacon Act provisions, versus such work as janitorial, cleaning, and trash removal, not under the Davis-Bacon Act. Comprehensive project maintenance contracts may include some of both types of work, but the minor construction or repair work must be truly incident to and minor in nature to the recurring maintenance work of the contract. Guide specifications for drafting such contracts are in TSM-M2B-Maintenance of Housing — Lump Sum (see NAVFAC P-35, Specifications Used in Contracts for Public Works).

Consideration should be given to multi-year maintenance contracts if it can be demonstrated that they will result in a significant advantage to the government by reducing costs, increasing competition and improving performance.

4. **Emergency/Service Type Work.** The majority of occupant/maintenance work requests will be in emergency or routine service category. During normal working hours, all such requests should be received by the housing manager, who will screeen, approve, and forward all emergency/service work requests to the maintenance control division or the emergency/service work center reception desk for issuance to the shops in accordance with procedures outlined in NAVFAC MO-321. If the requested work is above the limitations of emergency/service work (16 manhours), it shall follow the same procedure as outlined above except that the housing manager will approve all specific job orders, minor work authorizations, or standing job orders prior to issuance to the shops. The housing manager shall review weekly, all completed emergency/service work requests for repetitive items or work which may indicate a progressive trend towards a problem, and point up the need for an investigation to establish the cause and a more permanent solution.

Outside normal working hours, emergency/service calls should be channeled to the emergency/service work center, the activity duty officer, or another continuously manned point for screening. It is essential that all such calls be documented and reported to the housing office for record purposes.

5. **Work Requests at Change of Occupancy.** Work required incidental to change of occupancy shall be determined by the housing office as far in advance as practicable (preferably 30 days, probably at the time of forms available to the maintenance control division (MCD) before issuance to shops. These forms show the standard times and material costs for the type of work normally required upon change of occupancy. By using this form when inspecting quarters for habitability, the housing office shall prepare the major portion of the job order, complete with the estimate for such work, and forward it to the MCD for execution. The only items for which the MCD will have to prepare estimates are the "non-standard" items of work determined by the housing office as necessary for habitability. Therefore, processing of the job order by the MCD requires a minimum of work and time.

6. **Dynamic Equipment Inspection Service (DEIS).** As noted in NAVFAC MO-322, formal DEIS can be minimized by encouraging occupants of the quarters to perform minor inspections. Therefore, formal DEIS inspections for public quarters shall be held to an absolute minimum and should be accomplished at change of occupancy.

7. **Facility Reports.** A separate folder should be maintained for each dwelling unit and other facilities which are supported by FHMA funds. The record should contain completed emergency/service work orders, and major and minor specific job orders.

9.1.7 Repair and Improvement Programs

A. Policy. CNO expects that all essential maintenance, repair, and improvement work within your Commanding Officer's authority will be included in your maintenance plan, and funding requirements will be included in your regular annual operations and maintenance budget. Where the scope of major repairs and improvements exceed the authority of your Commanding Officer, it is essential that special projects will be the means for obtaining approval for the work and the necessary funds for the projects.

B. Special Projects

1. **Type of Work.** You may submit Special Projects for a variety of types of work. The following are examples:

a. Deferred maintenance work of such urgency and scope that scheduling and funding is not feasible under the regular maintenance program.

b. Major repairs, the scope and cost of which exceed your Commanding Officer's authority.

c. Unforeseen repairs, such as storm and fire damage which should not await regular scheduling.

d. Improvements including alterations, and additions.

2. **Criteria for Projects.** All projets for repairs and improvements, including those approved by your Commanding Officer, must met the criteria defined in

Chapter 13 of NAVFAC P-352. Several of the more significant criteria listed below:

a. No alterations, additions or improvements which will enhance the completed quarters beyond the scope of the original construction contract may be performed on or made to newly constructed or converted quarters within *three years* of beneficial occupancy date of the quarters.

b. The cost of repair and incidental inmprovements to inadequate public quarters must be amortized over a *two year* period.

c. There is a known continuing requirement for the facility.

d. The proposed project covers the *total* scope of the work required and will provide a complete usable facility.

3. Funding Program. The Major Repair, Improvement, and Urgent Minor Construction Programs provide sources of one-time funding for special projects which exceed the approval authority of your Commanding Officer. A congressional cost limitation prohibits the expenditure of more than $15,000 for the improvement or concurrent repair and improvement of any one dwelling unit, without specific legislative approval.

4. Cost Limitations. Project approval authority and funding limitations are shown in figure 9-4, and are subject to the availability of family housing funds.

C. Repair Projects

1. Approval Authority

a. Activity Commanding Officer. Your Commanding Officer has authority to approve repair projects costing up to $10,000. However, the total project cost for any *one family unit* in any 12-month period cannot exceed the limitations shown in figure 9-4.

Repair projects exceeding your Commanding Officer's authority should be forwarded to the HMC.

b. HMC. The HMC may approve repair projects costing up to $20,000. However, the total project cost for any *one family unit* in any 12-month period cannot exceed $5,000.

c. SECDEF. SECDEF may approve repair projects costing over $200,000 for dwelling units, and projects costing up to 100% of the replacement value for housing facilities other than dwelling units. Repair projects costing over $10,000 for any one unit must be approved by OSD, and over $15,000 by Congress. Fire damage restoration exceeding $10,000 must be funded by minor construction

3. HMC Review. Projects selected for possible accomplishment are reviewed by the HMC for technical and economical aspects and validated by an on-site investigation for essentiality. The review gives particular attention to the scope of work, proposed methods and materials, and alternatives to ensure that optimum solutions are proposed.

4. Priority Listings. Annually, the HMC will request you to review all pending repair projects and submit a revised priority listing for the projects. NAVFAC 8-11101/17 is used for this purpose.

D. Improvement Projects

1. Scope. The intent of the improvement program is to encourage retention of personnel in the Navy through modernization of family quarters to provide facilities generally in conformance with new construction criteria. The program is weighed in favor of improving enlisted men's and junior officer's quarters. However, projects to accomplish improvements to other quarters and family housing facilities are also considered. Other benefits to be derived from the program include reduction of operation and maintenace costs. The improvement program includes projects for:

a. Additional living space requirements

b. Additional utility requirements

c. Modernization and/or livability items

d. Provision of new community facilities for the sole use of occupants of family housing.

e. Pollution abatement projects applying solely to family housing.

f. Provision of evaporative cooling, air-conditioning, and mechanical ventilation.

g. Television antenna systems for family housing.

2. Limitations. All improvement projects are subject to established statutory and administrative cost and floor area restrictions. Specifically projects which propose increasing dwelling square footage beyond the limitation of NAVFAC DM-35 are prohibited. Cost and other limitations are discussed in succeeding paragraphs and figure 9-4.

3. O&M Funding Improvements

a. Purpose. This program provides the Commanding Officer of an activity with the authority to accomplish minor improvements to family housing units, using FHMA O&M funds, within the following limitations:

(1) No improvement project can exceed

CATEGORY OF WORK	COST LIMIT $	APPROVAL AUTHORITY	FUND SOURCE*	SUBMISSION TO	SUBMISSION VIA	DIRECTIVES	NOTES
1. Minor Construction						DOD Inst 7150.6 DOD Inst 5100.37 OPNAVINST 11101.36 OPNAVINST 11101.19A Chapter 13 P352	1. Project not to exceed $50 unit for stations having mo than 10 units or $500 per ject for those having 10 or units. (Inadequate not cou
a. Flag/CO Quarters (per unit in any 12 mo. period)	1,000	HMC	HMC	HMC	HMC		
	1,001-5,000	Major Claim	HMC	Major Claim	HMC		
	5,001-15,000	OSD	HMC	NAVFAC	HMC		
	over 15,000	Congress	Programmed	NAVFAC	HMC		
b. Any one Unit (in any 12 mo. period) Combining 2 or more units	5,000	HMC	HMC	HMC			2. Project not to exceed $10(unit for stations having mo 10 units or $1,000 per pro each station having ten or (Inadequate not counted.)
	5,001-15,000	OSD	HMC	NAVFAC	HMC		
	over 15,000	Congress	Programmed	NAVFAC	HMC		
c. Project (involving several units subject to unit cost limits of a or b) or family housing facilities other than units)	25,000	HMC	HMC	HMC			
	25,001-50,000	SECNAV	HMC	NAVFAC	HMC		
	50,001-300,000	OSD	HMC	NAVFAC	HMC		3. Requires OSD approval an ing from annual Improvem Program Funds authorized Congress to OSD. Projects ing $50,000 must be supp by a certificate of urgency
	over 300,000 3/						
d. Restoration of damaged or destroyed facilities	over $10,000 unit over 50% of replacement cost of other FH real property	OSD	HMC	NAVFAC	HMC	DOD Inst 7150.6 Chapter 13 P352	
					HMC		4. Includes restoration of da facilities.
2. O&M Improvements						DOD Inst 4270.24 DOD Inst 7150.6 DOD Inst 4165.2 Chapter 13 P352	
a. Unit (in any 12 mo. period) 6/	250	Station CO	HMC/Station	NA			5. Total cost for facility oth dwelling unit shall not ex of replacement value of e facility.
	500	HMC	HMC/Station	HMC			
b. Project 6/	5,000 1/	Station CO	HMC/Station	NA			
	5,001-10,000 2/	HMC	HMC/Station	HMC			
	over 10,000 3/	OSD	OSD	NAVFAC	HMC		
3. Repairs						DOD Inst 4270.24 DOD Inst 7150.6 DOD Inst 4165.2 Chapter 13 P352 OPNAVINST 11101.19B	6. All overhead charges appl to CO approved projects and NIF activities not cor in cost limit.
a. Per Unit (in any 12 mo. period) 6/		Station CO	Station	NA			
Flag	3,700						
Capt.	3,000						
Cdr./LCdr.	2,700						
All other officers	2,500						
EM	2,000		Station	NA			7. No dollar limit. Projects r mended by HMC.
All Types	5,000 4/	HMC	Station	HMC			
	5,001-10,000 (M&R) 4/	ASN (I&L)	HMC	NAVFAC			
	over 10,000(M&R only)	OSD	HMC	NAVFAC	HMC		
	over 15,000 (M&R & Improvement)	Congress	Programmed	NAVFAC	HMC		
b. Project 6/	10,000	Station CO	Station	NA			
	10,001-20,000 5/	HMC	HMC	HMC			
	over 200,000 5/	ASN (I&L)	HMC	NAVFAC	HMC		
4. Regular Improvements							
a. Projects	7/	Congress	OSD	HMC	HMC	Chapter 13 P352	

FIGURE 9-4

FAMILY HOUSING MINOR CONSTRUCTION,

REPAIR AND IMPROVEMENT PROJECT APPROVAL AUTHORITY

$500 for an activity having 10 or less units.

b. Restrictions. Projects accomplished under the Commanding Officer's authority may not be occasioned with separate undertakings which exceed the above limitations.

c. Submission.

(1) Submission of a special project is not required for improvement accomplished under this authority. However, the requirements should be included in your O&M budget request and be supported by narrative justification.

(2) Requirements exceeding above limits may be submitted to the HMC for approval and funding or referred to higher authority.

4. Minor Construction Funded Improvements.

a. Purpose. This program is a source of funds and authority for accomplishing improvement projects which are:

(1) Unforeseen.

(2) Urgently needed to correct conditions affecting health and safety; or

(3) For work which should not be deferred until the next regular improvement program is processed through Congress.

b. Restrictions. All minor construction projects are subject to the same statutory and administrative restrictions which are applicable to major improvement projects. Further, no minor construction projects may be subdivided or incremented in order to reduce costs for the purpose of obtaining approval at a lower level or to avoid any limitations. Projects are submitted to the HMC for review, approval and funding, also for forwarding to higher authority when required.

Restoration of damaged or destroyed units exceeding $10,000 are funded from minor construction.

c. Submission. Minor construction projects can be submitted as a part of the family housing improvement program, however, due to the nature of the projects, they may be submitted at any time on an individual basis. The projects should be submitted in the format and with the supporting data described in NAVFAC P-352. Where the project cost is over $50,000, a certificate of urgency signed by the activity Commanding Officer is required. A sample certificate is shown in NAVFAC P-352. A certificate of costs incurred must be submitted to the HMC on all minor construction projects. A sample certificate is shown in NAVFAC P-352.

5. Improvement Program.

a. Purpose. The Improvement Program provides an activity with a procedure for submitting projects submitted annually to Congress for approval and funding in the MCON program.

b. Scope. The program is exclusively for improvement projects. It is a means for an activity to correct obsolescence and deficiencies in existing family housing structures, grounds, ground structures, and utility systems. Pollution abatement projects which serve only family housing, and air-conditioning projects conforming to NAVFAC and OSD policy are also included in the Improvement Program. All repair work incident to or occasioned by an improvement should be part of the Improvement project. Projects should include all work required, including concurrent repairs and maintenance to bring the family housing units up to proper standards.

c. Submission. Projects should be prepared in accordance with current instructions from the HMC and submitted at any time throughout the year. The format used is basically DD Forms 1391 and 1391c and the NAVFAC 2417. Projects incorporating or pertaining to air conditioning require additional supporting data as detailed in NAVFAC P-352.

d. Cost Limitations. Projects are limited to $15,000 per dwelling unit. Where a proposed improvement, including necessary concurrent repairs and maintenance, exceeds this cost limit, the project must be specifically approved by Congress.

e. Program Priorities. In developing the MCON Improvement Program, NAVFAC gives emphasis and priority to projects which will result in direct and immediate benefit to the occupants by improving living conditions. This does not mean that projects which will result in preservation of property or reduction in O&M cost are totally excluded from the program. Although such projects generally receive secondary consideration, those that are particularly desirable or have urgency are included. The following examples of the types of improvement projects given first priority:

(1) Extra bedrooms or bathrooms and additional closets (within the floor area limitations of DM-35).

(2) Modernization of kitchens and bathrooms.

(3) Provision for occupant-owned washers and dryers.

(4) Increased electrical power, interior and exterior.

(5) Installation of garbage disposals.

f. Updating the Program. Your activity's program should be reviewed annually for changed requirements, revision of project scope, and adjustment or cost estimates. A revised priority list (NAVFAC 8-11101/17) should be prepared incident to the review. Further, you should insure that complete project submissions have been

list are no longer required. Such projects are to be deleted from the HMC files and destroyed. Better check your HMC's priority listing to ensure that all your projects are included.

9.1.8 Self-Help Program

A. Background. One of the objectives of the CNO, Self-Help Program is to improve personnel support, welfare and recreational facilities in the Naval shore activities. A logical method for achieving this objective is to develop local self-help programs and accomplish the improvement projects through greater utilization of active duty and reserve resources. When project costs, including self-help labor, exceed the Commanding Officer's authority, approval of higher authority must be obtained.

B. Policy. Activity Public Works Officers are responsible for providing technical direction for the forces accomplishing locally devised projects. Where available, the technical and professional skills of Seabee resources should be utilized for on-the-job supervision of other military forces.

C. Occupant Participation. Every shore activity has a considerable reservoir of personnel, skilled and semi-skilled. Where there are family housing units, there is an even larger untapped source of muscle-power. Although largely semi or unskilled, with proper direction these persons can help in accomplishing the projects and have the immense satisfaction of personal participation in enhancing *their* neighborhood or *their* home.

D. Potential Projects. The following are typical projects which may be accomplished locally within the statutory and administrative restrictions which are applicable to family housing improvement projects:

1. **Community Facilities:**

   Playgrounds
   Junior athletic facilities
   Picnic areas with barbeque grills

2. **Family Dwellings:**

   Landscaping
   Patios with windbreaks or screens
   Yard fencing
   Interior painting

It is essential that you provide the materials and equipment for the projects. Should you encourage occupant repainting of part or all of their quarters, standard off-white or pastel colors should be used.

E. Project Performance. All projects must conform to applicable fire, safety and building codes, as well as your activity's Master Development Plan.

9.1.9 Financial Management

A. Budgeting

1. **Background.** The current structure for financing the Department of Defense Family Housing Program has its instructions identified the scope of the Defense Family Housing Program to include those properties and undertakings financed from the FHMA,D.

a. The Defense Family Housing Property Account includes the following properties under the jurisdiction of the DOD:

(1) All types of family dwelling units and mobile home park facilities irrespective of who occupies the housing and whether the housing is located on or off station, owned or leased, occupied or unoccupied.

(2) Non-dwelling buildings directly associated with family dwelling units or a family housing area.

(3) Roads, driveways, walks and utility systems which primarily serve family housing units or areas.

(4) The grounds area of a group of family housing units and the yards of dispersed family housing units or areas.

(5) Community facilities which are integal to a family housing area and are available for use only by family housing area residents.

(6) Fixtures and other appliances or equipment of a housing unit which are either integral components or movable items.

(7) Furniture, furnishings and other personal property which are directly associated with providing and supporting family housing units.

b. The Defense Family Housing Property Account excludes the following:

(1) Arterial roads, public walks and utility lines/mains which may pass through or front family housing locations, but which serve such locations incidental or secondary to serving other station requirements.

(2) Facilities provided for temporary family occupancy in a manner similar to hotels or motels.

(3) Community facilities which are not integral to a family housing area, or are available for use by other than family housing area residents.

(4) Educational facilities.

(5) Telephone and other communication facilities installed in a family housing unit for official use, and unofficial telephone facilities installed in family housing units.

(6) Community antenna television distribution service by governmental (other than DOD), commercial, cooperative or private enterprises.

(7) Military Assistance Program properties.

2. **Five Year Defense Plan (FYDP).** The Five Year Defense Plan is the foundation of the planning, programming and budgeting system. All budgeting and execution is accomplished and controlled by this plan. It establishes financial levels for future program years and unless a program is included in the FYDP, it has no official status.

Family housing programs achieve reality through the budget process by which funds are provided for personnel, material and facilities. The first program year of the FYDP becomes the basis for the annual budget submission. To make this transition, it is necessary to translate programming goals into an appropriation or budget structure. After Congressional approval, the budget becomes the framework for day-to-day management of programs.

3. **Budget Considerations.** It is emphasized that the budget is not simply an annual slice of the long range plan. Its preparation involves penetrating re-examination of data resulting from the planning and programming processes. Additional consideration are given to the following factors:

a. Occupancy rates;

b. Inactivation or disposal of family housing facilities;

c. Acquisition or construction of additional family housing facilities;

d. Change in the size of the administrative staff or its function.

e. Anticipated base closure or increased/decreased size of tenant activities;

f. Number of changes of occupancy;

g. Elimination of substandard or inactive units;

h. Change in utility rates;

i. Revised wage rates for federal or local employees;

j. Revised overhead rates for NIF or NIF-PWC activities;

k. Inventory of furniture and equipment;

l. Planned shop workload;

m. Availability of prior year funds; and

n. Seasonal variations in maintenance shops' or administrative support offices' workload.

4. **Budget Preparation.** Detailed instructions concerning budget policies and preparation guidelines for completing Family Housing Budget Estimates are issued to each acitivty annually by its Housing Management Center (HMC). Each activity is responsible for translating budgetary guidance into operating procedures for planning for use in budget preparation should be a year-round process, not a last minute frantic effort. The information should be gathered, tabulated, and summarized periodically by category of quarters and Budget Line Code to ensure adequate support or justification of budget estimates.

5. **Budget Review.** The HMC will review each activity budget and require justification for instances where line item increases are in excess of normal inflationary rises from one year's budget/costs and the following year's budget. Activity budgets are summarized for submission to NAVFACENGCOM HQ.

B. Funding

1. Family Housing Management Account, Defense. The FHMA,D is the uniform acount structure used by the various service components within the Department of Defense as the management vehicle for financing construction operation and maintenance, and debt service of family housing assets. Subordinate or transfer accounts separately finance Navy and Marine Corps Family Housing.

Annually the Congress authorizes and appropriates funds for the Family Housing Program. The act provides funds in three major functional categories: Construction, Operation and Maintenance, and Debt Payment. The amounts of money for these categories are identified for each military department, but are consolidated for DOD use.

a. **Construction.** Includes costs for acquisition, construction and replacement of family housing facilities; preliminary planning and design; upgrading marginal public quarters; major improvements to family housing units; and rental guarantee agreements.

b. **Operations and Maintenance.** Includes costs for maintaining and repairing family housing properties, providing utility and other services including administration of government-owned family housing, in-leasing of privately-owned housing, and provision of furniture and equipment.

c. **Debt Payment.** Includes the annual principal and interest payments on acquired Wherry and Capehart housing, payments to the Commodity Credit Corporation and FHA, and Servicemen's Mortgate Insurance Premiums.

2. **Activity O&M Funds.** NAVFACENGCOM HQ allocates activity FHMA,D funds to the Engineering Field Divisions (EFDs) on NAVCOMPT Form 372. EFDs issue a NAVCOMPT Form 140, Reimbursable Work Request, to each activity having management responsibility for operating and maintaining family housing within their cognizance. The Work Request will indicate activity Annual Planned Figures (APFs) and quarterly breakdowns by family housing Budget Projects.

a. **Budget Projects.** Budget projects for operation and maintenance include:

(5) BP-20 Maintenance

(6) BP-96 Reimbursables

b. Limitations. Local transfers between budget projects are effected only by EFDs, subject to the following limitations which may not be deviated from without prior NAVFACENGCOM HQ approval:

(1) Allottees may not decrease the amount of BP-20.

(2) There will be no transfers between BP-96 and any other Budget Project.

C. Cost Reporting and Analysis. The Housing Cost Report (HCR) is the only report that reflects how an activity's housing funds have been used. The HCR is a useful tool for reviewers at an activity and any other levels of command having a management interest in the cost of housing.

1. The Comptroller Department or fiscal office at an activity, has responsibility for submission of the Housing Cost Report. In the mechanics of "plugging" numbers in "blanks," it is very easy to transpose figures. A copy is to be provided to the Housing Office. A facesaving procedure is to have the Housing Manager review the report prior to submission.

2. The HCR is an accrued cost report. In order that all costs are included, the Housing Office should prepare a feeder report of data not yet available to the Accounting personnel. The Housing Manager should ensure that costs, work units, and consumption data are accurate prior to submission of the report.

3. Activity HCRs are used by the Facilities Services Office, Port Hueneme (FACSO) in preparing the Family Housing Operation and Maintenance Management Report. This report is then utilized in comparing planned expenditures with actual expenditures. The Housing Manager is expected to use the Family Housing O&M Management Report in budget preparation since the HMC and NAVFAC use the report when reviewing an activity's budget submission.

4. Funds are provided an activity based on costs reported on the Housing Cost Report. For example, in the utilities area, a budget may have indicated that costs for electricity were $14.50 per MKWH, while the Cost Report indicates that only $12.25 per MKWH was paid. Put yourself in the place of a reviewer at the HMC or NAVFAC who is evaluating the budget request; how would you fund for electricity?

5. Budget estimates and the Housing Cost reports are used to measure a Housing Office's performance. There is no other information available to higher levels of command. Consequently, when dealing with the higher echelons, accurate cost reports are essential. The impact of inaccurate cost reports is that the battle is lost before it begins.

1. Definition. Temporary Lodging accommodations are living accommodations, generally with housekeeping facilities, which are rented to authorized personnel on a temporary basis. Included are motels, hotels, mobile homes, cottages, apartments, and guest houses.

2. Exclusions. Excluded from the definition of Temporary Lodgings are:

a. Transient Housing (see paragraph B.1 below).

b. Accessory accommodations which are maintained from regular allowances supporting the parent accommodations, i.e., guest cottages contiguous to Flag or Commanding Officers quarters.

c. Recreation camps, hunting lodges, beach cottages and like facilities.

d. Accommodations furnished authorized personnel by a closed mess.

3. Background. The availability of government-owned, inexpensive temporary lodgings for Navy personnel executing PCS orders is most influential on their morale. The temporary lodging facilities provide the serviceman, and his dependents, an inexpensive interim place to live while locating the assignment of public quarters. At present, more than thirty Naval activities have temporary lodging accommodations.

4. Requirements Determination. Surveys to determine requirements for temporary loding accommodations are periodically prescribed by the Chief of Naval Personnel.

5. Acquisition and Operation. Temporary lodgings are constructed, supported and operated with nonappropriated funds. The accommodations are under the management control of the Navy Supply Systems Command (Navy Resale System Office) and locally managed by the Navy Exchange Officer. Appropriated-fund support for temporary lodging accommodations is set forth in NAVCOMPT Manual 035851.

6. Operating Policy. Basic operating policy is contained in NAVRESOINST 4060.18A.

a. Assignment. Active duty Naval personnel assigned to Navy ships, stations, and staffs arriving or departing an area on PCS orders receive preferential assignment. Other military, civilian and dependent personnel are eligible for assignment in accordance with OPNAVINST 11107.2 (current).

b. Occupancy Period. A normal period of occupancy is 10 to 15 days, but may be extended to 30 days in order to maintain full occupancy. Occupancy for more than 30 days jeopardizes a seviceman's eligibility for BAQ.

c. **Reservations.** Assignment of accomodations by reservations can be extended *only* to active duty personnel executing PCS orders. Assignment of all other eligible personnel is on an as available basis.

d. **Charges.** Charges for occupancy are established by the Navy Resale System Office as approved by the Chief of Naval Personnel.

B. Transient Housing

1. **Definition.** Transient housing is family housing provided personnel on ships undergoing overhaul at shipyards distant from their homeports.

2. **Background.** Transient housing units include former inadequate public quarters or substandard housing which have been removed from the Family Housing Inventory by the CNO.

3. **Operating Procedures.** Transient facilities are operated as non-appropriated fund activities. Rental rates are established on a "break-even" basis so as to defray the total O&M costs of the units. The operation of these units is governed by BUPERSINST 11101.3 (current).

9.2.2 Bachelor Housing

A. Background. A significant difference between the Family Housing Program and the Bachelor Housing Program is the manner of management. The Family Housing Program is centrally administered by NAVFAC; the Bachelor Housing Programs are administered by the major claimants. Management relationships for Bachelor Housing are consistent with the unilinear Navy concept. However, requirements determination and planning and programming responsibilities deviate from the management chain of command.

B. Requirements. Periodically the Navy's requirement for Bachelor Housing must be reestablished and the military construction program updated. The base policies, procedures, and detailed instructions for establishing bachelor housing requirements are prescribed in NAVFACINST 11101.91 (current).

1. Bachelor Housing Survey. The vehicle for determining the bachelor housing requirements at your activity is the bachelor housing survey. The survey is initiated by CNO as required (usually annually) and addresed to selected activities for implementation.

a. The information obtained from this survey is eventually presented to Congress in support of your recommended bachelor housing projects and may be presented in support of line item projects. Accordingly, the results must reflect the local conditions as accurately and comprehensively as possible. It is essential that the survey include all tenant commands at your shore activity as well as those supported commands that are homeported there but may be temporarily deployed away from the homeport.

b. It is strongly recommended that the personnel who conducted or participated in the family housing survey also be involved in the bachelor housing survey. Your team reviews the automated bachelor housing survey, which is finally submitted to NAVFAC, via the chain of command, with copies to the major claimants.

2. **Correlation of Survey Data.** With the automation of the bachelor housing survey, there should be no differences between the family and bachelor housing survey data with regard to personnel strength and personnel living with dependents. For locations completing a bachelor housing survey, the requirements data will automatically overlay the information in the BFRL.

Reviewing agencies have noted major discrepancies between the "effective deficits" which are computed on the bachelor housing survey (DD 1657) and the requirements stipulated either in the BFRL or on the DD 1391. There must be agreement between the requirements shown on DD 1391 and the effective requirements (deficits) listed on DD 1657. Lack of conformity in this information can kill a project without much difficulty.

For more detailed information on the preparation of the LSR, the BFRL, and the DD 1391, refer to Chapter 4. For more comprehensive and detailed information on the survey procedures refer to NAVFACINST 11101.91 (current).

C. Planning and Programming. The Chief of Naval Personnel is advisor to the CNO on all matters, other than technical engineering matters, which relate to Personnel Support Facilities (less family housing). Specifically, CNP is to assist in the development of integrated priority lists for troop housing/messing and other support and service facilities in the multi-year and annual MCON programming.

The responsibility for fomulation and prepartion of the entire MCON Program for the consideration of the Navy Military Construction Review Board is assigned to NAVFAC. Under the concept of the multi-year military construction programming, all deficiencies are corrected at a balanced rate within an established time frame as permitted by budgetary constraints.

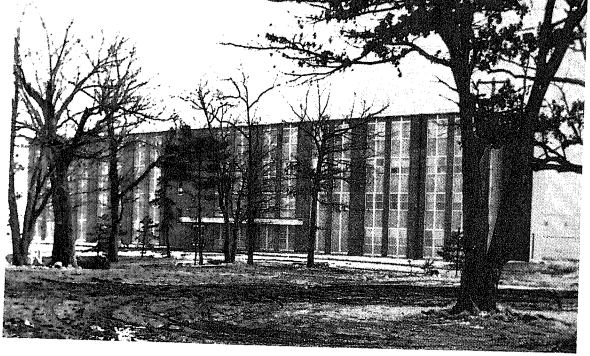
Additional information on planning and programming is discussed in Chapter 4. Reference OPNAVINST 11010.1 (current).

D. Bachelor Housing Criteria

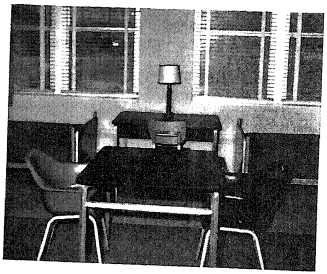
1. **Adequacy Standards.** Criteria for Navy bachelor housing construction are set forth in OPNAVINST 11012.2 (current). The instruction details the policy governing utilization and management of bachelor quarters, provides criteria for involuntary assignment to bachelor quarters, and establishes the requirement for reporting BAQ and per diem paid.

2. **Planning and Design Guides.** Criteria for use in planning and designing bachelor housing are contained in NAVFAC DM-36, *Troop Housing*, and DOD 4270.1-M.

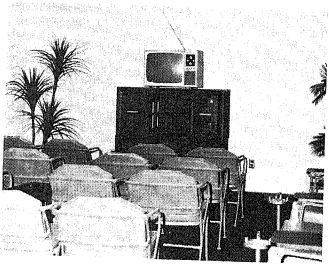
Criteria for bachelor housing support facilities are contained in NAVFAC DM-37, *Community Facilities*, and NAVFAC P-272.



General view of modern enlisted men's quarters



Interior of typical bedroom



Television and sitting room

FIGURE 9-5
CBC DAVISVILLE'S NEW BEQ

Utilization Report

Instructions/References. Appendix B, P-352.

Frequency. Semi-Annual-due in NAVFAC by the 8th of the month following the reporting period (figure 9-6).

Prepared by. Activity Housing Division.

Reviewed by. NAVFAC

Source Data. Family Housing Vacancy Log, figure 9-7 and Housing Report Worksheet, figure 9-8.

Information Displayed and Sort. Utilization (occupancy) information for various categories of housing.

Management Analysis of. Item 7 should be at least 98% for adequate housing. Less than 98% requires written explanation in Section VI. Blocks 19, 20, and 21 should be plotted against blocks 23 and 24 over time to give indication of coordination of change of occupancy.

9.3.2 Statement of Facilities and Assignment Report — DD Form 1411 RCS DD-I&L(A) 1082 (11101) (1 Oct 70)

Instruction/Reference. NAVFAC P-352, Appendix B, Part I, Section 3.

Frequency. Annual, as of 31 Dec (figure 9-9).

Source Data. Navy Real Property Inventory.

Information Displayed and Sort. Consolidated Report of all government owned and leased family housing units (types A, B, C, D, E, F, G, H, I, J, L, L, P, and Q) including units which may be loaned to other services or agencies.

9.3.3 Report of Adequate Public Quarters Available to Familiies of Sponsors or Unaccompanied Tours — NAVFAC 11101-20

Instruction/Refernce. Appendix B, NAVFAC P-352.

Prepared by. NAVFAC from activity input data.

Frequency. As units become available — also quarterly summaries (figure 9-10).

Reviewed by. NAVFAC.

Source Data. Inventory and Vacancy Log.

Information Displayed and Sort. Number and description of available quarters by type and projected availability period(s).

Purpose. To provide a central bank of houses available for assignment to dependents of personnel on unaccompanied overseas tours.

Analysis. None.

HOUSING REPORT
BAYFAC 8-11101/13 (8-68) (5 PT)
Supersedes NAVDOCKS 3964

NO LETTER OF TRANSMITTAL REQUIRED

7. PERCENT OF GROSS UTILIZATION ____ %

ITEM NO.	1. ACTIVITY NAME AND LOCATION (Abbreviate)	2. ACTIVITY CODE	3. NAVY DIST CODE	4. REPORTING PERIOD - For Quarter Ending ____, 19__	5. TYPE OF HOUSING	6. TYPE OF TRANS. NEW	6. TYPE OF TRANS. CHANGE
A						1	2

SECTION I - INVENTORY DATA

	8. NO CHANGE DURING PERIOD	C 9. NEW ADDITIONS +	N 10. GAINS BY CONVERSION +	A 11. REACTIVATION +	N 12. INACTIVATION −	G 13. LOSS BY CONVERSION −	E 14. DISPOSAL −	S 15. OTHER LOSSES −	16. PRESENT TOTAL UNITS (Including Inactive)	17. TOTAL INACTIVE
B										

SECTION II - UTILIZATION DATA

	18. TOTAL GROSS DAYS −	19. VACANT FOR MAJOR REHAB −	20. VACANT FOR RECURRING MTCE −	21. VACANT BUT AVAILABLE −	22. OCCUPIED DAYS =	23. NO. OF MOVE OUTS	24. NO. OF MOVE INS	NUMBER OF ACTIVE UNITS VACANT ON REPORT DATE: 25. OFFICER	26. ENLISTED
C									

SECTION III - UNITS OCCUPIED ON REPORT DATE

	RANK	NAVY	MARINE CORPS	ARMY & AIR FORCE	COAST GUARD	OTHERS
D	OFFICERS	27.	28.	29.	30.	31.
E	E9 - E4 (4 or more yrs. service)	32.	33.	34.	35.	36.
F	E4 - E1	37.	38.	39.	40.	41.

SECTION IV - WAITING LIST

	42. OFFICERS	43. E9 - E4 (4 or more yrs. service)	44. E4 - E1	45. CIVILIANS
G				

SECTION V - SUBSTANDARD HOUSING DATA

	BAQ	NAVY ENTITLEMENT	NAVY ADJUSTED PAID	MARINE CORPS ENTITLEMENT	MARINE CORPS ADJUSTED PAID	OTHER SERVICES ENTITLEMENT	OTHER SERVICES ADJUSTED PAID	SUBSTANDARD HOUSING COLLECTIONS
H	OFFICER	46.	47.	48.	49.	50.	51.	
I	ENLISTED	52.	53.	54.	55.	56.	57.	58.

59. SECTION VI - REMARKS

60. HOUSING MANAGER | DATE

Family Housing Vacancy Log

NAVFAC B-11101/20 (9-68)

Make a separate report for EACH TYPE of Housing

TYPE HOUSING (Code)

LINE	A QUARTER'S IDENTITY	B CODE	C DATE VACATED	D DATE FROM MAJOR REHAB	E DOWN DAYS	F DATE FROM M & R	G DOWN DAYS	H DATE UNIT RE-OCCUPIED	I CODE	J DOWN DAYS	K TOTAL VACANT
1											
2											
3											
4											
5											
6											
7											
8											
9											
10											
11											
12											
13											
14											
15											
16											
17											
18											
19											
20											
21											
22											
23											
24											

L	OFFICER					ELIGIBLE ENLISTED					INELIGIBLE ENLISTED				
STATUS	N	MC	A & AF	CG	O	N	MC	A & AF	CG	O	N	MC	A & AF	CG	O
OUTS															

M. VACANCY LOSS FROM MAJOR REHAB

N. VACANCY LOSS FROM M&R

O. VACANCY LOSS FROM VACANT BUT AVAILABLE

P. TOTAL VACANT DAYS

FIGURE B-2

HOUSING REPORT WORKSHEET
NAVFAC 8-11101/13A (4-68)

ITEM NO.	1. ACTIVITY NAME AND LOCATION (Abbreviate)	2. ACTIVITY CODE	3. NAV. DIST. CODE	4. REPORTING PERIOD For Quarter Ending _____, 19__	5. TYPE OF HOUSING	6. TYPE OF TRANS. NEW 1	6. TYPE OF TRANS. CHANGE 2	7. PERCENT OF GROSS UTILIZATION
A								

SECTION I - INVENTORY DATA

	8. NO CHANGE DURING PERIOD	C	N	A	N	G	E	S	16. PRESENT TOTAL UNITS (Including Inactive)	17. TOTAL INACTIVE
		9. NEW ADDITIONS +	10. GAINS BY CONVERSION +	11. REACTIVATION +	12. INACTIVATION −	13. LOSS BY CONVERSION −	14. DISPOSAL −	15. OTHER LOSSES −		
B										

SECTION II - UTILIZATION DATA

	18. TOTAL GROSS DAYS −	19. VACANT FOR MAJOR REHAB. −	20. VACANT FOR RECURRING M&R −	21. VACANT BUT AVAILABLE =	22. OCCUPIED DAYS	23. NO. OF MOVE OUTS	24. NO. OF MOVE INS	NO. OF ACTIVE UNITS VACANT ON REPORT DATE 25. OFFICERS	26. ENLISTED
C									

SECTION III - UNITS OCCUPIED ON REPORT DATE

	RANK	NAVY	MARINE CORPS	ARMY AND AIR FORCE	COAST GUARD	OTHER	TOTAL
D	OFFICERS	37.	26.	29.	30.	31.	
E	E9-E4 (4 or more years service)	32.	33.	34.	35.	36.	
F	E4-E1	37.	38.	39.	40.	41.	
	TOTAL						

SECTION IV - WAITING LIST

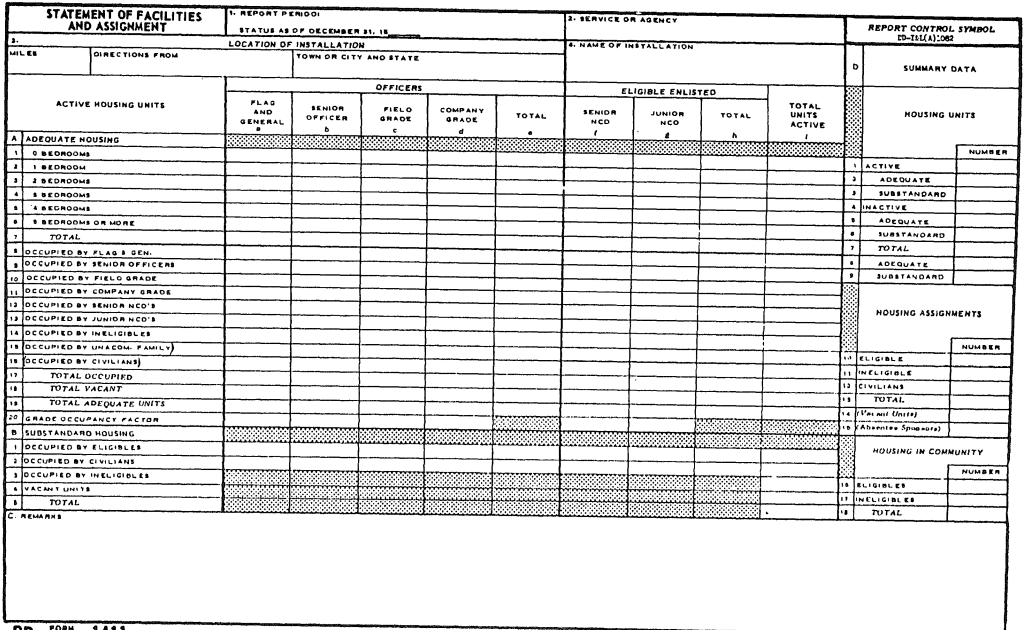
	42. OFFICERS	43. E9-E4 (4 or more years service)	44. E4-E1	45. CIVILIANS
G				

SECTION V - SUBSTANDARD HOUSING DATA

	BAQ	NAVY		MARINE CORPS		OTHER SERVICES		SUBSTANDARD HOUSING COLLECTIONS
		ENTITLEMENT	ADJUSTED PAID	ENTITLEMENT	ADJUSTED PAID	ENTITLEMENT	ADJUSTED PAID	
H	OFFICER	46.	47.	48.	49.	50.	51.	
I	ENLISTED	52.	53.	54.	55.	56.	57.	58.

59. SECTION VI - REMARKS

FIGURE B-3



STATEMENT OF FACILITIES AND ASSIGNMENT

1. REPORT PERIOD: STATUS AS OF DECEMBER 31, 19____

2. SERVICE OR AGENCY

REPORT CONTROL SYMBOL: ED-I&L(A):2082

3. LOCATION OF INSTALLATION — MILES | DIRECTIONS FROM | TOWN OR CITY AND STATE

4. NAME OF INSTALLATION

ACTIVE HOUSING UNITS	OFFICERS: FLAG AND GENERAL a	SENIOR OFFICER b	FIELD GRADE c	COMPANY GRADE d	TOTAL e	ELIGIBLE ENLISTED: SENIOR NCO f	JUNIOR NCO g	TOTAL h	TOTAL UNITS ACTIVE i
A ADEQUATE HOUSING									
1 0 BEDROOMS									
2 1 BEDROOM									
3 2 BEDROOMS									
4 3 BEDROOMS									
5 4 BEDROOMS									
6 5 BEDROOMS OR MORE									
7 TOTAL									
8 OCCUPIED BY FLAG & GEN.									
9 OCCUPIED BY SENIOR OFFICERS									
10 OCCUPIED BY FIELD GRADE									
11 OCCUPIED BY COMPANY GRADE									
12 OCCUPIED BY SENIOR NCO'S									
13 OCCUPIED BY JUNIOR NCO'S									
14 OCCUPIED BY INELIGIBLES									
15 OCCUPIED BY UNACOM. FAMILY									
16 OCCUPIED BY CIVILIANS									
17 TOTAL OCCUPIED									
18 TOTAL VACANT									
19 TOTAL ADEQUATE UNITS									
20 GRADE OCCUPANCY FACTOR									
B SUBSTANDARD HOUSING									
1 OCCUPIED BY ELIGIBLES									
2 OCCUPIED BY CIVILIANS									
3 OCCUPIED BY INELIGIBLES									
4 VACANT UNITS									
5 TOTAL									

C. REMARKS

D SUMMARY DATA

HOUSING UNITS	NUMBER
1 ACTIVE	
2 ADEQUATE	
3 SUBSTANDARD	
4 INACTIVE	
5 ADEQUATE	
6 SUBSTANDARD	
7 TOTAL	
8 ADEQUATE	
9 SUBSTANDARD	

HOUSING ASSIGNMENTS	NUMBER
10 ELIGIBLE	
11 INELIGIBLE	
12 CIVILIANS	
13 TOTAL	
14 (Vacant Units)	
15 (Absentee Spaces etc)	

HOUSING IN COMMUNITY	NUMBER
16 ELIGIBLES	
17 INELIGIBLES	
18 TOTAL	

DD FORM 1 OCT 70 1411

PREVIOUS EDITIONS ARE OBSOLETE.

FIGURE 9-9

STATEMENT OF FACILITIES AND ASSIGNMENT REPORT

REPORT OF ADEQUATE PUBLIC QUARTERS
AVAILABLE TO FAMILIES OF SPONSORS
ON UNACCOMPANIED TOURS
NAVFAC 11101/5 (8-66)

Report NAVFAC 11101-20

AS OF DATE	ACTIVITY	CITY	STATE

TYPE	OFFICER							ENLISTED						
	NO. OF UNITS BEDROOMS					AVAILABLE PERIOD		NO. OF UNITS BEDROOMS					AVAILABLE PERIOD	
	1	2	3	4	5+	FROM	TO	1	2	3	4	5+	FROM	TO
CAPEHART														
WHERRY														
OTHER PUBLIC QUARTERS														

FACILITIES AVAILABLE	NEAREST CITY
( )MEDICAL ( )COMMISSARY ( )PX ( )OTHER(Identify)	Name, Distance, and Direction

PERTINENT REMARKS (i.e., schools, etc.)

HOUSING OFFICER	Address	City and State	Telephone No.

FIGURE 9-10
REPORT OF ADEQUATE PUBLIC QUARTERS AVAILABLE TO FAMILIES OF SPONSORS ON UNACCOMPANIED TOURS

CHAPTER 10
EQUIPMENT AND FURNISHINGS

One of the less obvious and least defined areas of Public Works Management responsibility is that of non-technical collateral equipment and furnishings of buildings. The Public Works Officer is held responsible by command not only for the building shell, but also for much of the installed and portable equipment, furniture and furnishings which transform the shell into a usable facility. His department's responsibility encompasses not only the initial outfitting, but also the upkeep and replacement of various types of equipment and furnishings. Perhaps the biggest source of problems at the activity in this area is the differentiation of cognizance over and funding of various categories of equipment and furnishings. This chapter seeks to define and clarify these parameters for the new Officer in Public Works.

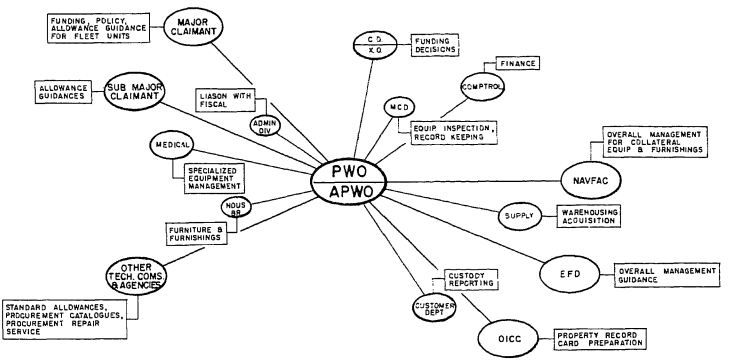


FIGURE 10-1
THE PLAYERS IN EQUIPMENT AND FURNISHINGS

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REFERENCES

1. OPNAVINST 11012.2C, Subj: *Occupancy Criteria for Assignment of Navy Bachelor Housing*
2. OPNAVINST 11101.32, *A Provision of Furnishings for Family and Bachelor Housing*
3. NAVCOMPT Manual, Volume III, Chapter 6, *Basic Directives on Plant Property Management*
4. NAVCOMPT Manual, Volume VII, Chapter 5, *Basic Directives on Financial Responsibility - Collateral Equipment*
5. NAVFACINST 7040.3 of 15 August 1969, *Collateral Equipment Program* - Outlines basic responsibilities and procedures for Initial Outfitting of collateral equipment
6. NAVFACINST 11012.120, *Interior Design* - Establishes NAVFAC interior design program, furnishes program criteria, and provides listing of facility category codes involved

Plant Property Classes. For management, financial, and technical control purposes, plant property items and expenditures therefore are divided into the following four classes:

Plant Property Class 1 Land.
Plant Property Class 2 Buildings, Structures, and Utilities.
Plant Property Class 3 Equipment (other than industrial plant equipment).
Plant Property Class 4 Industrial Plant Equipment.

Collateral Equipment. As used in this chapter collateral equipment includes both expense (O&MN, or O&M,NR or RDT&E,N) and investment (OPN or RDT&E,N) items of equipment funded from any appropriation other than Military Construction Navy (MCN) or Military Construction Naval Reserve (MCNR) associated with the initial outfitting of a MCON/MCNR project.

Initial Outfitting. This is the collateral equipment requirement generated by new construction, replacement, modernization, expansion, extension, addition or conversion of a facility, shop or office resulting from a change or increase in functions or operations as directed by applicable major claimants in conjunction with a MCON or MCNR project and is necessary to provide a complete and usable facility.

MCON Funded Built-in Equipment. Built-in and installed equipment of a capital nature which is to become a permanent part of a structure. Normally, the costs of all items of equipment which are permanently built-in, or attached to the structure, including items with fixed utility connections, are included in the construction costs. The cost of installing in real property facilities equipment which is affixed and built into the facility as an integral part of the facility is "construction" and is included as an investment MILCON cost. The following items are typical examples:

Furniture, cabinets, and shelving, built-in.
Waste disposers such as incinerators.
Venetian blinds and shades.
Window screens and screen doors.
Elevators and escalators.
Wall-to-Wall carpeting.
Drinking-water coolers.
Telephone, fire alarm and intercom systems.
Protective construction features.
Electrical generators and auxiliary gear.
Food preparation and serving equipment, built-in.
Dishwashers.
Theater seats.
Hoods and vents.
Refrigerators and reefers, built-in.
Laboratory furniture, built-in.
Cranes and hoists, built-in.
Chapel pews and pulpits.
Bowling lanes, including seating and pin-spotting equipment.
BEQ/BOQ wardrobes, built-in or prefabricated.

Excluded: Normally, the costs of all items of equipment, including furniture and furnishings, which are loose, portable, or can be detached from the structure without tools, are excluded from the construction costs. In addition, the costs of permanently attached equipment related directly to the operating function for which the structure is being provided, such as technical, scientific, production, and processing equipment, are normally excluded from these costs. The following items are typical examples:

Furniture, loose.
Furnishings, including rugs, loose.
Filing cabinets and portable safes.
Office machines, portable.
Wall clocks, plug-in.
Food preparation and serving equipment including appliances, portable.
Training aids and equipment, including simulators.
Automatic data-processing equipment.
Photographic equipment, portable.
Communications equipment.
Dental chairs and pedestal units.
Shop equipment.
Any operational equipment for which installation mountings and construction are provided in the building design, and which are detachable without damage to the building or equipment.

Expense Items. Items of equipment having a unit value of less than $1,000 in value at time of budgeting and are not centrally managed; that is, no central authority computes service-wide procurement and controls distribution/allowances to the user level. Such equipment is often referred to as "Collateral Common" and includes such items as desks, lockers, file cabinets, book cases, etc.

Investment Items. Investment costs are those costs usually associated with the acquisition of equipment and real property, such as end items of military or commercial type, including items authorized for local procurement, but excluding items of equipment having a unit value of less than $1,000 and over which an inventory control point does not maintain centralized item management throughout the supply system down to the user level. Examples of investment items are items costing over $1,000 in value at time of budgeting such as duplicating machines, Industrial Production Equipment (IPE), hospital and dental equipment, etc.

Technical Sponsor	Description
NAVFAC	Major Construction and civil engineering equip.
AIRSYSCOM	Major aeronautical equip.
ELECSYSCOM	Shore electronics equip.

PART 1 - INTRODUCTION

10.1.1 Local Responsibilities. Management of equipment and furnishings at the activity level involves the functions of:

1. Initial outfitting of collateral equipment and furnishings for all new facilities.

2. Maintenance and repair of installed and portable equipment and furnishings, and

3. Replacement of equipment and furnishings.

The Public Works Department at the activity is usually responsible by command for almost all types of common use furniture, furnishings, and equipment in all facilities. Exceptions are usually equipment and furnishings necessary for carrying out the particular functions of the customer, or those which are uniquely in support of operations. Examples would be a dentist's chair, or a radar set.

10.1.2 Off station Responsiblities. Off station, the responsibility for programming budgeting and funding for most collateral equipment in support of initial outfitting requirements for MCN and MCNR projects is vested with the Naval Facilities Engineering Command. Exceptions to this are as follows:

PART 2 - INITIAL OUTFITTING PROCEDURES

10.2.1 People-Related Facilities (NAVFACINST 11012.120) Initial Outfitting Collateral Equipment. In this program the main responsibility rests with the cognizant Engineering Field Division (EFD) of Naval Facilities Engineering Command. Assignment to the EFD insures compliance with habitability standards and criteria. Development of collateral equipment requirements is, however, normally coordinated with the activity. The EFD provides a complete, professional interior design service in accordance with NAVFACINSTS 11012.120 which results in a shopping list for furniture and furnishings. Shopping lists are furnished to the activity ready for procurement. Funds are also furnished to the station to take all necessary procurement action. In rare and special cases, some procurement may be undertaken by the EFD.

10.2.2 Other MCON/MCNR Facilities. This applies to other MCON projects, administrative buildings, instructional buildings, fire stations, hangars, hospitals, research facilities, etc. (Does not include NIF or NARF type of facilities). Collateral equipment list for these projects usually originates from the Project Supporting Documentation (PDS) but are revised prior to construction award by the station. The station may require technical assistance from other system commands, offices, etc., but submission of the necessary list is made by the station. One of the best ways to prepare such

Collateral Equipment	Budgeting/Funding Responsibility
(a) Support equipment for which a central authority has been specifically assigned the responsibility for computing and budgeting service-wide requirements, while retaining authority to withdraw, redistribute or replace items without regard to unit cost.	Office/Bureau/Systems Command assigned central management program responsibility.
(b) Equipment items listed in the Supply Systems as Appropriation Purchase Account (APA) cognizance items or "family related" thereto.	Office/Bureau/Systems Command assigned as technical sponsor.
(c) Specialized equipment items technically unique and required to accomplish an RDT&EN program or project.	RDT&EN project manager.
(d) Training equipment and devices.	Training agency or training support agency.
(e) Equipment items properly chargeable to nonappropriated funds.	Nonappropriated fund custodian.
(f) Equipment items for Marine Corps ground facilities.	Marine Corps. No change from current responsibility.
(g) All collateral equipment, not subject to the criteria of (a) through (f) above, for the following activities only; Naval Air Rework Facilities and the Naval Avionics Facility; Naval Shipyards; Naval Ammunition Depots and Naval Ordnance, Torpedo and Weapon Stations.	Cognizant Systems Command for all expense/investment items.

Actual procurement, in almost all cases, is a local function.

Department Industrial Catalogues.

10.2.3 Funding and Reports. As with most budget programs, the initial outfitting - collateral equipment program concerns itself with three major categories of timing. Assume that it is June, 1979, then:

1. Present Year-Currently FY79
2. Budget Year-Currently FY80
3. Out Years-Currently beyond FY81

Funding for the total program is derived by compiling data in previous years and ultimately submitting it into the normal budget cycle. The heart of the program depends on the "Reports" submitted by the activities. What the activity submits as requirements are reviewed and adjusted upward or downward based on the latest information, deduction of unauthorized items, correction of over/under priced items, etc. The principle report which the PWD will need to update will be the NAVFAC Report 7040-1, which is a summary report of collateral equipment required for future MCON projects. Instructions for its preparation are contained in NAVFACINST 7040.3. The report is actually prepared by NAVFAC to reflect previously submitted collateral equipment lists which have been prepared by the EFD and activity for each MCON and MCNR project. Activity action includes only review and corrective annotations as necessary to the report. With respect to funding, where variations occur between project inception and actual funding, there are a number of variables that seem to offset each other. Late starts versus early starts, late Usable Completion Date versus early UCD's, emergent jobs versus cancelled jobs are prime examples. The serious problems revolve around unprogrammed projects and delays or absence of requirements where in fact substantial requirements exist. These unstated requirements place a severe strain on available funds. Only cancellations or under runs on other projects can usually provide the resources. The activity plays a key part in the total picture and can insure success of the program by a few simple rules:

1. Be sure your requirements are complete, valid, and reasonably priced out.

2. Submit your requirements when called for and update them when significant changes occur.

3. Monitor your expenditures for validity; close out your allocations as soon as possible; and return any remaining funds to the Engineering Field Division.

4. Insure accurate and timely support from other SYSCOMS that support the project (NAVELEX, CNETAPA Support, etc.).

5. If price escalations are making serious in-roads on your allocations, drop items not absolutely necessary, utilize existing equipment where possible.

Tip: See maximum allowances for furniture and furnishings for BOQ's and BEQ's in OPNAVINST 11101.32.

authorized equipment and furnishings should be limited to that effort necessary to keep the item in a serviceable condition and to protect the governments investment.

B. Fund Source. The proper fund source should be identified and used for the maintenance of non-appropriated fund items, and those acquired with appropriated funds.

C. Warehousing. Collateral furnishings within the following categories, when not in use, should be warehoused in segregated sections and should not be reassigned for use outside of their originally designated areas. For example, distinction should be made between:

1. Flag and Commanding Officers' quarters furnishings and appliances.
2. Other family housing furnishings and appliances.
3. BOQ furnishings and equipment.
4. BEQ furnishings and equipment.

D. Records. An individual maintenance/service history record should be established for each item identified in the Dynamic Equipment Inspection Service inventory (DEIS).

E. DEIS. An unofficial standard DOD Property Record (DD Form 1342) Figure 10-2 should be prepared (or reproduced from Plant Property Records) for inclusion in all DEIS history records. Their inclusion assures proper maintenance (and budgeting for maintenance).

F. Policy. Establish clear-cut guidelines (policy) for DEIS and non-DEIS equipment and furnishings decisions of the following types:

1. Continue to maintain at lowest possible cost.
2. Approve one-time, repair(s) - not to exceed.
3. Defer further maintenance and/or repair.
4. Initiate replacement action/disposal action.

General guidance for DEIS is available in MO-322, *Inpsection for Maintenance of Public Works and Public Utilities.*

10.3.2 DEIS Equipment. Certain types of equipment items which belong in the DEIS inventory are chronically overlooked due to misunderstanding by Supply Office and Public Works Office personnel of the necessity for both maintenance management record keeping and Plant Property Record keeping. The following represent typical examples of possible oversights.

A. Plant Property Class 2 Items. Certain "installed/built-in" equipment items are recorded only as "integral part of Class 2 facility (building/utility system, etc.) Examples are:

1. An independent heating, electrical, water, airconditioning plant/system serving only one building/structure.

fire alarm/fire protection, compressed air, natural or manufactured gas), including the equipment items which are "integral to" the specific utility system.

3. Telephone and intercom systems installed within a building (not including terminals, hand sets, nor any non-Navy-owned instruments, switchboards, etc.).

4. Mechanically-operated doors.

5. Elevators and elevator shafts, complete, within a building/structure (*not* including portable drydock elevators).

6. Refrigerators and cold-storage rooms - permanently installed or walk/in.

7. Built-in safes and vaults.

8. Venetian blinds, awnings, shades and shutters - and their associated hardware.

9. Crane runways - within and extending from within a building (not including the cranes and their operating mechanisms).

10. Septic tanks - serving one building (not tied into a sewage system).

11. Railroad scales and/or turntables - fixed position.

12. Rock crushers/cement batch plants - fixed in permanent locations (*not* including temporary/portable mobile units established for a limited time/use).

13. Imhoff tanks, incinerators, liquid oxygen systems, etc.

14. Housing-type trailers - installed equipment and their connections to sewage, water, electricity, etc.

15. "Installed" family housing/quarters appliances ("built-ins", the removal of which would cause some reconstruction).

B. Plant Property Class 3 Items. These are collateral equipment items of a capital nature (similar to those cited above) the installation and use of which does not form an integral part of a structure/building/utility system, etc., and with an estimated or actual initial acquisition cost of $1,000 or more. Examples might be:

1. Electric drinking fountains and water coolers.
2. Combination locks and safes.
3. Galley and food service equipment.
4. Emergency generators.
5. Overhead cranes and their operating mechanisms.
6. Majority of the remaining items officially recorded as plant property Class 3 (Fiscal Office Records).
7. The following specific items are considered Class 3 plant property regardless of initial cost:

a. Electronic test benches.
b. Work benches and layout tables used in estimated or actual initial acquisition cost of $1,000 or more, such as:

1. Installed machine tools located in the Maintenance Division work centers, the Transportation Division work centers and (occasionally) in the Utilities Division Plant Shops.
2. Electric arc and gas welding equipment.
3. Paint spray booth equipment.
4. Industrial scales and balances.
5. "Elephant tools" - extremely large machine tools (generally cause structural modifications) costing over $100,000.

D. Minor Property Items. These are collateral equipment and/or furnishings items, similar to the above with individual initial cost of less than $1,000 and/or examples such as the following:

1. Office equipment-typewriters (manual), labor-saving devices, etc.
2. Engineering drafting equipment.
3. Desk calculators (hand operated).

Note: Many of these items are recorded as "Organic Property" at Marine Corps installations.

E. Navy Family Housing Equipment/Appliances. Plug-in type refrigeration, ranges, washers, dryers, etc.

F. Consumables. Shop hand tools, laboratory glassware, miscellaneous office supplies, etc.

10.3.3 Non-DEIS Equipment and Furnishings.

A. Minor property items and consumables listed above are not, normally found among the DEIS items. However, some items in these two categories still require "servicing" at regular intervals. Where this is the case, it is appropriate to establish a *Service History Record* on such items to obtain a measure of such work involving OMN funds (usually expended on Service Work Authorization forms forwarded to the Maintenance Division shops from the Work Reception Desk in the Maintenance Control Division).

B. Minor property items in the category of initial outfitting collateral equipment in use in Personnel Support Facilities (PSF) and other non-PSF outfitted with MILCON funds should be listed in the facility history record of the facility.

A relatively inexpensive (and optional) way of measuring the maintenance costs on such items is to direct the return of service work authorizations and minor work authorization documents (with actual time/costs posted) to the facility history record. On a quarterly, semi-annual or annual basis the charges can be summarized on a simple listing of maintenance charges for all such items in the facility. In this way, cumulative OMN expenditures can be compared with total initial outfitting costs to aid in determining appropriate

4. COMMODITY CODE	5. STOCK NUMBER	6. ACQUISITION COST	7. TYPE CODE	8. YR OF MFG	9. POWER CODE	10. STATUS CODE	11. SVC CODE	12. COMMAND CODE	13. ADM OFFICE CODE
3433545103 60		4,198	1	70	11	1	1(7)	62583	62583

14. NAME OF MANUFACTURER	15. MFR'S CODE	16. MANUFACTURER'S MODEL NO.	17. MANUFACTURER'S SERIAL NO.
Union Carbide Corp., Linde Division	36346	CM-15	683

18. LENGTH	19. WIDTH	20. HEIGHT	21. WEIGHT	22. CERTIFICATE OF NON-AVAILABILITY NUMBER	23. ASOD NO.	24. ARD	25. CONTRACT NUMBER
19	7	6		N62583-8199-0008			

26 DESCRIPTION AND CAPACITY

CUTTING MACHINE, flame, stationary, hinged arm type. Cutting capacity: 36 inches maximum cutting W, 156 inches max cut L, 36 inches max circle diameter. Cutting speed range 1½-37½ IPM, One flame torch, UNIWELD No. 64TRL, motor operated, magnetic tracer. Attachments: One circle cutting attachment w/two radius rods, one straight line cutting attachment, one tracing plate.

CONTINUED ON REVERSE SIDE ☐ YES ☒ NO

27. ELECTRICAL CHARACTERISTICS

QUANTITY	HORSEPOWER	VOLTS	PHASE	CYCLE	AC	DC	SPEED	TYPE AND FRAME NUMBER
		110/120	1	60	X			

28. PRESENT LOCATION

USN, CBC, Port Hueneme, California
Custody Code 1800 Public Works Trans Codes 9 26
Class 4 Bldg. 322 Codes 24 $.50 Vou. 17854
Job Order OK2092-70

28a. DIPEC CONTROL NO.

29. POSSESSOR CODE 2506600

SECTION II - INSPECTION RECORD

		YES	NO			YES	NO
30.	CAN ITEM BE STORED AND MAINTAINED ON SITE FOR AT LEAST 12 MONTHS?			42.	MUST ITEM BE REPAIRED/REBUILT/OVERHAULED TO PERFORM ALL FUNCTIONS? $		
31.	HAS ITEM BEEN REBUILT/OVERHAULED? DATE IF SO, WHEN?			43.	DO GC RECORDS INDICATE SATISFACTORY PERFORMANCE? IF NO, EXPLAIN UNDER REMARKS BELOW.		
32.	HAS ITEM BEEN MODIFIED FROM ORIGINAL CONFIGURATION? IF SO, EXPLAIN UNDER REMARKS BELOW.			44.	ARE MANUALLY OPERATED MECHANISMS IN WORKING ORDER? IF NO, DESCRIBE UNDER REMARKS BELOW.		
33.	WAS ITEM INSPECTED UNDER POWER? IF NOT EXPLAIN UNDER REMARKS BELOW.			45.	ARE SCALES, DIALS, AND GAUGES WORKING AND READABLE? IF NO, DESCRIBE UNDER REMARKS BELOW.		
34.	ARE MAINTENANCE COSTS NORMAL? IF NOT, EXPLAIN UNDER REMARKS BELOW.			46.	ARE HYDRAULIC PUMPS, VALVES, AND FITTINGS OPERATING PROPERLY? IF NO, DESCRIBE UNDER REMARKS BELOW.		
35.	ARE SAFETY DEVICES ADEQUATE AND SATISFACTORY? IF NOT, EXPLAIN UNDER REMARKS BELOW.			47.	ARE ELECTRONIC SYSTEMS AND CONTROLS OPERATING PROPERLY? IF NO, DESCRIBE UNDER REMARKS BELOW.		
36.	ARE INSTALLATION INSTRUCTIONS AVAILABLE FOR TRANSFER?			48.	HOW MANY HOURS WAS ITEM USED BY CURRENT POSSESSOR?		
37.	ARE OPERATING INSTRUCTIONS AVAILABLE FOR TRANSFER?			49.	EXPLAIN UNDER REMARKS LAST USE OF EQUIPMENT DESCRIBED IN ITEM 32 ABOVE.		
38.	WAS ITEM LAST USED ON A FINISHING OPERATION?			50.	ESTIMATED COST FOR PACKING, CRATING, HANDLING. $		
39.	WILL ADJUSTMENTS OR CALIBRATION CORRECT DEFICIENCIES?			51.	INDICATE DATE ITEM WILL BE AVAILABLE FOR REDISTRIBUTION.		
40.	IS ITEM SEVERABLE WITHOUT DAMAGE TO COMPONENTS? IF NOT, GIVE THEIR REPLACEMENT COST. $			52.	CONDITION CODE.	0-1	
41.	IS ITEM IN OPERABLE CONDITION?			53.	OPERATING TEST CODE.		

SECTION III - REMARKS

54. REMARKS

P.W. Req'n N62583-9281-0239
Contract No. N00600-70-C-1263 dtd 30 June 70.
Uniweld Torch No. 64TRL purchased separately from Hopper, Inc., Ventura at a cost of $117 (included in acq.).

REMARKS CONTINUED ON REVERSE SIDE ☐ YES ☒ NO

SECTION IV - DISPOSITION RECORD

55. CONSIGNEE (NAME AND ADDRESS, INCLUDING ZIP CODE)	56. TYPE OF DISPOSITION	56a. DATE OF DISPOSITION AND PROCEEDS IF SOLD
	☐ DONATION ☐ DESTRUCTION ☐ SALE ☐ ABANDONMENT	

SECTION V - VALIDATION RECORD

57. VALIDATION (TYPED NAME(S) AND SIGNATURE(S))

F. H. CROSIER

DD FORM 1 FEB 68 1342 PREVIOUS EDITIONS OF DD FORM 1342 ARE OBSOLETE. REPLACES DD FORMS 1342M, 1342S, AND 1342SM WHICH ARE OBSOLETE. S/N-0102-012-9001

FIGURE 10-2
DOD PROPERTY RECORD FORM

replacement of various categories of equipment.

B. Don't try and buy initial outfitting collateral equipment unilaterally. The next IG inspection will catch it.

C. Make sure you understand the type of facility, categories of equipment, and funding source before initiating non-technical collateral equipment lists for MCON/MCNR projects.

D. Don't let housing furniture off base. It only leads to headaches and trouble.

E. Don't forget to include all applicable items in your DEIS program.

F. Don't use furniture purchased for a MCON project for *anything else*. GAO feeds on this sort of trick.

G. For replacement of investment items costing over $1,000 try and get money from the Major Claimant.

H. When ordering or replacing electrical equipment, make sure the item is compatible with the existing utility

part of MCON projects.

J. Make sure the door is big enough to get the washer and dryer through.

K. Determine at an early stage who will unpack and install heavy appliances and furniture - the contractor or your forces.

L. Make staging and storing arrangements for initial outfitting equipment before it lands on your doorstep.

M. Consult the many criteria and directives available or permissible furniture allowances for Personnel Support Facilities before listing requirements.

N. The EFD's (Code 04) are staffed with interior designers. Their primary mission is furniture/furnishings/color coordination for MCON/MCNR initial outfitting, but they are frequently available to assist in renovation and refurnishing projects. This is an excellent potential source of professional help in all aspects of interior design. Get help from the pros - it pays off in better looking, longer lasting facilities - and it makes your job easier.

CHAPTER 11
MATERIAL MANAGEMENT

Many of the every-day problems in the management of a typical Public Works Department are material problems. If the following list of statements sounds familiar, then you are having your share of these problems.

1. This is not what I ordered.
2. That has been on order for over 6 months.
3. We ordered 20. We received only 8.
4. This is the wrong size/finish/dimension/etc.
5. Well, Shop Stores used to carry it.

The most common reason given for such problems is "Supply goofed!" More often than not, however, Public Works has "goofed" in some manner.

In most cases the material problems of the Public Works Department are caused by Public Works misunderstanding of, or failure to use the Supply Support System correctly.

To minimize these problems the officer in Public Works needs a fundamental knowledge of the Supply Systems capabilities and limitations.

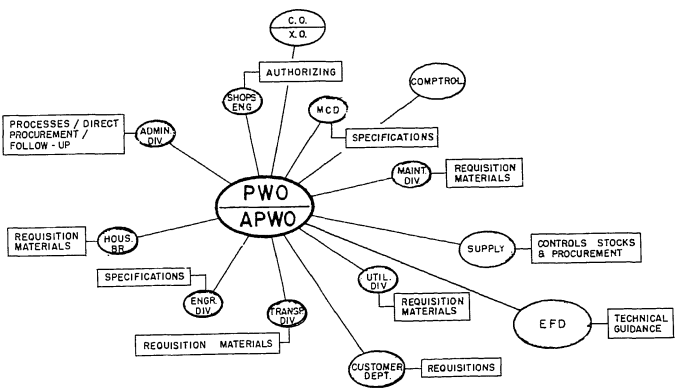

FIGURE 11-1
THE PLAYERS IN MATERIAL MANAGEMENT

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PART 1 - PUBLIC WORKS - SUPPLY PARTNERSHIP

11.1.1 Public Works - Supply Partnership. From initial procurement actions through disposal actions, the personnel of the Public Works Department need the assistance and cooperation of Supply Department personnel. The mutual objective is economic management of materials.

Toward this end, the PWO should strive to achieve and to maintain harmonious inter-departmental relations. He should "get to know" and work with the Supply Officer on a full partnership basis. The key to success in obtaining this partnership lies in communications between personnel from the department heads down to the working level.

PART 2 - THE TWO PART SYSTEM

11.2.1 The Integrated Supply System. The varied supply demands by a Seabee Battalion in the Pacific, a Navy Radio Station in Cutler, Maine, the Naval Base in Guantanamo, Cuba, and other world-wide elements of the Operating Forces and Shore Establishment of the Navy require a purchase storage, and distribution system with a scope unequalled in the commercial world. This **Integrated Supply System** is currently operating in an era when expensive and frequent cold war contingencies must be supported by funds from ever-constricting budgets. Economy, efficiency of operation (two all important terms), and superior management have never been so critically important. **The mission of this Integrated Supply System is then, first and always foremost, responsive support to the operating forces; and second and significantly, optimum economy.**

The term "Supply System" is used to describe collectively the field activities of Naval Supply Systems Command (NAVSUP), Defense Logistics Agency (DLA), General Services Administration (GSA), and other Military services which receive, hold and issue materials to the operating forces or to activities of the shore establishment.

The Supply System is "integrated" in two different ways. First, the Navy Supply System itself is integrated. Prior to World War II, technical materials were controlled by the technical commands and were generally provided to the fleet on a direct turnover basis from private industry. The staggering quantity of material required by the highly mobile naval forces and advance bases soon surpassed the ability of this system to meet demands. As a result, it was necessary that these technical items be "integrated" into the supply system where they could be managed system-wide.

Secondly, the Integrated Supply System refers to an integration of the DLA, GSA, Navy, Army, Air Force and Marine Corps Systems. This has been accomplished by assigning these agencies with national responsibility for management of a specific range of material in support of all military services' requirements. Within the Navy, this centralized management is accomplished by four supply activities designated as Inventory Control Points (ICP). These activities are Aviation Supply Office (ASO), Philidelphia; Ships Parts Control Center (SPCC), Mechanicsburg; Navy Publications and Forms Center (NPFC), Philadelphia and Civil Engineering Support Office management is assigned to various supply activities designated as Weapons Integrated Material Managers (WIMM). The Army Tank Automotive Material Readiness Command (TARCOM) is assigned inventory management functions as an IM vice a WIMM as a special case. For GSA, inventory management is performed by ten Regional Offices, each of which may manage the full range of GSA items rather than a specific class or range of items as with the Defense Supply System activities. How the Defense Supply System fits into the Navy System will be discussed later.

11.2.2 Navy Supply System. There are basically two parts to the Navy's Supply System. One part of the supply support system, the Navy Supply System, managed by the Naval Supply Systems Command, is concerned with over two million items assigned to Inventory Control Points. These items do not need the close attention given Bureau/System Command controlled items (to be discussed shortly); and they include such categories of material as repair parts and consumable supplies. The Navy Supply System includes receipt, storage, and distribution to the consumer of all required materials.

In order to perform this responsibility for purchasing, cataloging, and distributing, the Navy Supply System must have the data needed to accurately predict answers to the following:

A. WHAT will be required?

B. HOW MUCH will be required?

C. WHEN will specific items be required?

D. WHERE will items be needed?

E. HOW will they be transported?

In other words, the supply system must have reliable information on types and quantities of items, leadtime involved, and points of ultimate use.

Not only must the personnel of the Supply Systems Command have the answers to the questions listed above, but they must also control the hundreds of thousands of items at all stages. Items must be given specific identification codes, so that requisitions are correctly understood, and activities receive the desired materials. Supply information must be coordinated, to avoid duplication of authority, responsibility, and functions; and even more important, to prevent "pockets" where authority, responsibility, and functions are not delineated. A smoothly operating organization is imperative if the right quantities of the proper items are to be available when and where they are needed for Navy installation.

The second part of the supply support system consists of the technical Systems Commands and the Bureaus of the Navy Department who retain direct control over selected items, including purchase, and inventory and issue control; but with receipt, storage, and shipment usually remaining with the supply department of field activities. Items may be Bureau or Systems Command controlled because of: high unit cost, design considerations, special programs, or because

chiefly of determining broad policy, and reviewing overall operation and performance.

Except for the limited number of technical Bureau/System Commands controlled items, sponsorship of most kinds of materials is vested in the Supply Systems Command. In other words, NAVSUP formulates policy for, and exercises general supervision over, all operations involving the cataloging, purchase, stock control, storage, transportation, accounting, issue, and disposal of various categories of supplies, equipment and repair parts. In addition, NAVSUP is assigned technical guidance over certain categories of materials.

In general, however, technical guidance is vested in some other command or office. Thus, NAVELEX has technical guidance of electronics supplies; NAVAIR has technical guidance of aviation supplies; BUMED has technical guidance of medical and dental supplies and equipment; and NAVFAC has technical guidance of construction supplies and equipments.

NAVSUP has delegated to the supply departments established at Navy field activities the general responsibility of purchasing receiving, storing, distributing, and controlling the materials that are required by the particular activity, in the performance of its assigned tasks. These activity supply departments must also maintain the necessary accounts for materials, unless there is a separate Fiscal Department that takes over these duties.

The nerve centers of the system are three Inventory Control Points (ICP's). Each of these ICP's manages a material commodity or group of commodities which are held in a "distribution system" composed of supply activities called stock points. In order for these ICP's to make the material available in the right quantity at the right place, it is necessary to maintain close control over the distribution system. To do this the distribution system is tied together by a highly sophisticated communications network. Through this network the distribution points report daily the status of stock at their location. This intelligence enables the ICP's to position material as required and to compute purchase requirements for the material.

The ICP stock management responsibilities to the system can be summed up as follows:

1. Position material at the various stock points.
2. Retain inventory control of this material through extensive reporting systems.
3. "Push" material to the stock points.
4. Provide technical assistance to the System (and to the customers).
5. Provide cataloging services to the system (and to the customers).

There are two types of activities that make up the distribution system: (1) activities whose primary mission is supply and (2) activities that are components of systems commands other than NAVSUP or naval operational activities.

These activities have a mission of warehousing, distributing, and control of material.

The other designated activities are supply departments of:

1. Naval Shipyards.
2. Naval Air Stations.
3. Naval Stations.
4. Construction Battalion Centers, etc.

Their mission is to provide specialized supply support to the command at which they are located. A majority of these activities are large enough to be linked with the ICP in the same manner as activities whose primary mission is supply. The student needn't worry about the exact relationship of all these activities to the ICP. The system is sufficiently complicated to make it necessary to examine each activity in order to determine its exact relationship to other activities and the various ICP's.

The activities that form the distribution system are classified as either reporting activities or nonreporting activities.

As a general rule, a reporting activity is replenished by direct action taken by the controlling ICP on the basis of the stock status reports submitted by the activity. A non-reporting activity is replenished on the basis of requisitions generated with the activity and submitted to its source of supply.

An activity may be a reporting activity for material under the inventory control of one ICP and a nonreporting activity for material under control of another ICP, i.e.:

Reporting Acitivity. Stock point which reports daily to the cognizant ICP transactions affecting the stock status of the activity. Inventory management is maintained by the ICP for a reporting activity.

Nonreporting Activity. Activity which does not submit stock status reports to ICP. Inventory management is maintained at the local level for a nonreporting activity.

PART 3 - FINANCING OF MATERIALS IN THE NAVY SUPPLY SYSTEM

11.3.1 General. It is important that the CEC Officer have a clear idea not only of what he wishes the supply department to do, but also what the supply officer *can* do, within the limits of his delegated authority and his assigned responsibilities. In this context, the class of materials is first presented and then the sources of funds for purchase are identified.

11.3.2 Types of Materials. The Navy divides material into four categories - equipment, equipage, repair parts, and consumables.

Equipment is considered to be any functional unit which is operated singly or as a component of a system or subsystem

and which is identified by manufacturer's nameplate data and is supported by an Allowance Parts List (APL).

Equipage is an item of a durable nature listed in an Allowance Equipage List (AEL), or other authorized listing issued by an inventory control point. Equipage items differ from equipment in that they are usually portable, high cost items which are easily stolen.

A Repair Part is any item which appears in an Allowance Parts List (APL), a manufacturer's handbook, or a similar parts list.

Consumable Materials, sometimes called expendables, are administrative and housekeeping items, general-purpose hardware, common tools, or any other items not specifically defined as equipage or repair parts.

Types of materials carried in the supply system are funded by two different methods: **direct appropriation (APA) as in** the case of investment items procured by the System Commands or revolving fund (NSF). However, equipments that are installed in a ship at the time of construction and aviation managed materials are generally funded by appropriation. This method is used for these items because of their high unit cost. The items are issued without charge; however, cost accounting records are maintained on their issue.

11.3.3 The Navy Stock Fund (NSF). The Navy Stock Fund is a revolving working-capital "pool of money" used to finance the purchase and maintenance of common supply items required for the support and operation of the Navy. This money is used to buy material which, when purchased, becomes part of the Navy Stock Account, and waits in inventory on a stockroom shelf until needed by an activity.

The Navy Stock Fund, "Working Capital", originally provided by congressional appropriation, is used repetitively to procure stocks of "common use items,", i.e., the types of items for which ultimate disposition or user cannot be determined in advance, but the need is based on past utilization. When the material is finally issued to the ultimate user, the funds financing the operation of the user, (usually O&MN) are charged for the value of the issued material and the NSF is credited for the value of the material. The total value of material and cash in the Navy Stock Fund thereby remains constant. The Navy Stock Account (NSA) is the stores account or functional account in which the material is held until issue to an end user and assignment of the proper cost code is accomplished. The value of the material in the NSA fluctuates constantly. Accountingwise, the NSF is composed of both money and material and remains constantly at its authorized value, with the "mix", or ratio, of money to material constantly changing.

Each Inventory Control Point (ICP) as well as stock points, receives a portion of the NSF from NAVSUP the overall NSF administrator. The ICP must use its portion of the NSF to purchase and maintain adequate NSA stock levels held at the various NSC's, NSD's, CBC's and other stock points.

units or organizations (which is in conformance with the Resources Management concept).

There is a close interaction between the Account and the Fund, so that some confusion may exist as to their relative functions. It will help you to distinguish between them if you keep in mind that the NSF is concerned with money and the NSA with material.

11.3.4 Appropriations Purchases Account (APA). The Appropriation Purchases Account is the stores account record for items financed directly from one of the regular Navy appropriations (i.e., Procurement of Air Craft & Missiles, Navy; Ship Contruction, Navy; Other Procurement, Navy; etc.). These appropriations are the result of congressional legislation, and they are made for specific purposes expressly stated in the appropriation act. The materials entered in APA records may be highly technical items keyed to a Bureau/Systems Command program or of a type for which the Navy demand is too limited to justify financing from a working-capital fund. Having already been charged to an appropriation when procured, no further charge or transfer of funds is required at the activity level when issue is made (hence the misleading misnomer that APA material is "free"). APA material normally consists of complex, high value components such as electronic modules which are tightly controlled by ICP's or systems commands, and must be returned to the Supply System for repair rather than being thrown away or cannabalized for parts when defective.

PART 4 - HOW DOES THE SYSTEM WORK?

11.4.1 Operation. It can be considered to start with a material request which goes to your activity's Supply Department. Let's say that you have a requirement for material that is not carried aboard the activity. A requisition is prepared and forwarded to the nearest stock point, say NSC San Diego (a reporting activity). NSC San Diego after scanning their stock records and discovering that the material is not-in-stock (NIS), depending on priority, refers your requisition to the ICP or holds it in back ordered status. However, if the material is not carried (NC) in stock the supply activity will pass your request to the Inventory Control Point (ICP) designated as the inventory manager for the material. The ICP reviews its master records to determine if the material is available in the "system." NSC Oakland has the material on hand, so the ICP issues a distribution directive to Oakland. NSC Oakland then ships the requested material to the Supply Department of your activity and reports the issue to the ICP. To carry the process a step further, if the issue had dropped Oakland's stock below the prescribed level, the ICP would take action to procure more material from industry to replenish Oakland's stock.

11.4.2 Shop Stores. Materials commonly utilized by Public Works shops are often carried in a shop store operated by the Supply Department and often carried in a shop store operated by the Supply Department and located in close proximity to the shop or shops supported. When such shop stores are established in one command but operated by the Supply Department of another command they are designated as ready supply stores. The primary purpose of the shop

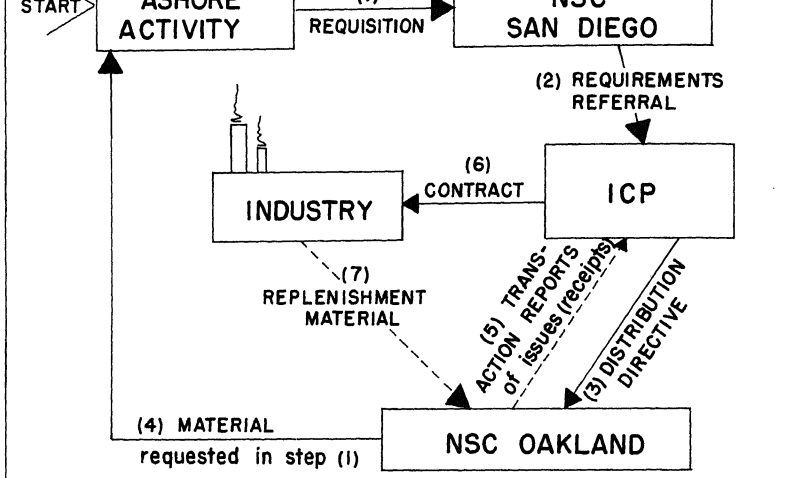


FIGURE 11-2
TYPICAL SUPPLY SYSTEM OPERATION

Stock Levels and Replenishment. The Supply Officer will establish stock levels for regularly carried shop store items in accordance with NAVSUP and FMSO guidelines which base levels upon the preceding four quarters of demand history and the relative distance to the main supply source. If supported from the command's main supply stocks, the shop store is authorized an average of one month of inventory with a high limit of 2 and a half to 3 months depending on the distance to the main supply warehouses. When stocks are obtained directly from the Supply System without local backup stocks in main supply, then the shop store is authorized an average inventory level of 2 and a half months with a high limit of up to five months. The Supply Officer and the PWO will jointly determine range and depth of new items until demand data can be accumulated. Levels are also adjusted to allow replenishment in full package quantities. When a stock item is issued down to its established low limit, shop store personnel prepare a requisition to replenish the item from main supply or from the Supply System as applicable, to return the item to its normal operating level.

Some items required for jobs of a nonrecurring nature may not be available in the shop store, and will have to be ordered direct from the activity Supply Department or main supply stocks. You will find that a large percentage of items used by the Public Works Department are not carried by the Shop Stores or by main supply warehouses of the Supply Department due to the lack of sufficient repetitive demand or due to other stocking restrictions. These items must be ordered on a direct turnover (DTO) basis. Therefore, the PWO must take care to plan ahead and to advise supply personnel, as early as possible, of anticipated requirements in case these items must be ordered from the Supply System or purchased locally.

Nonstandard Items. Items not obtainable through the Navy Supply System as standard stock may be financed under NSF and carried as nonstandard material in a shop store or in main supply stocks whenever an activity has a legitimate continuing requirement for such stock. For nonstandard stock so financed, the following conditions apply:

1. Nonstandard material will not be stocked when standard items are available, except when the nonstandard material is considered to be indispensable.

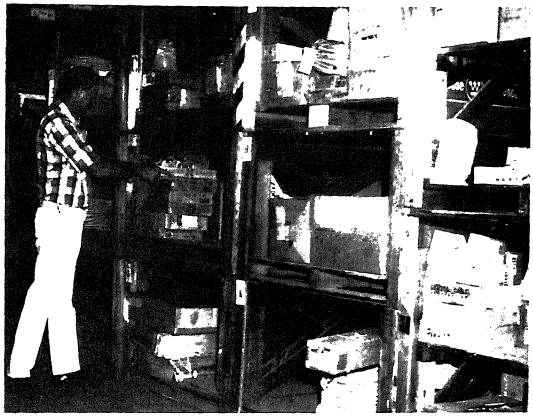


FIGURE 11-3
THE SHOP STORE

2. Maximum utilization must be made of standard stock and noncritical items, in lieu of brand names, critical, and extra specification items.

3. Substitution of similar standard items will be made for nonstandard items, wherever possible.

4. When demands for a specific item indicate a repetitious requirement, steps will be taken to have the item standardized, if possible.

Because some Supply Departments are not required or are unable to record demand on nonstandard items, those nonstandard items to be stocked are normally assigned a local stock number by the Supply Department. This facilitates the application of standard computerized inventory control procedures to these items to accumulate demand data and to establish appropriate stocking levels.

Insurance Items. Insurance items are those standard or nonstandard items lacking sufficient repetitive demand for stocking, but for which prudence requires that a nominal quantity be stocked, since the lack of the item could prevent the accomplishment of an activity's assigned mission. Insurance items are required for plant or production property maintenance and repair of an emergency nature and must be limited to those essential items of a long purchase lead time, lighting systems, power lines, automotive or material handling equipment, etc.

The stock level of an insurance item must be limited to the quantity estimated as needed to satisfy the type of emergency use for which the item is held. Each insurance must be annually reviewed by the shop store supervisor in conjunction with personnel of the shop concerned to insure that the item's retention as an insurance item is fully justified under the above criteria.

Because some Supply Departments are not required or are unable to record demand on nonstandard items, those nonstandard items to be stocked are normally assigned a local stock number by the Supply Department. This facilitates the application of standard computerized inventory control procedures to these items to accumulate demand data and to establish appropriate stocking levels.

11.4.3 SERVMARTS. SERVMARTS are established at major activities to provide the customer with a convenient, walk through, self-service store in which to readily obtain common consumable items normally used by the activity. These include such things as office supplies, cleaning supplies, galley supplies, forms, tools, minor repair parts, and paints. SERVMARTS often stock items commonly used by Public

FIGURE 11-4
THE "SERVMART"

Customers must present a single money-value-only requisition with an authorized signature, which is on file at the SERVMART, to gain entry and to shop for needed items. By their very nature SERVMART items are highly vulnerable to pilferage and theft. PWO's should therefore insure that local procedures provide for positive accountibility for ordering and receiving items from SERVMART.

11.4.4 Pre-Expended Bins. A pre-expended bin in another source of supplies. The bins contain high usage items, generally of low unit cost, which have already been expended from the stock records and related financial accounts of the supply department. These bins are located at points within the shops and are readily accessible to shop personnel. This immediate availability of material saves considerable time that would otherwise be required for preparing requisitions and obtaining authorization. Also eliminated is the need for posting individual issues and the accompanying expense of processing them through the activity supply and fiscal departments, for expenditure.

The supply office and the department head having cognizance over the shop in which the bins are located determine jointly which items are to be carried in pre-expended bins. Items should be restricted to those of low-pilferage value where possible. Additionally the items are limited to a unit cost of $25.00 or less except that the $25.00 limit may be exceeded with approval of the commanding officer. In no instance will stock in each bin exceed an estimated 30 day supply. The pre-expended bins must be actively monitored and controlled by PW and Supply personnel to insure bins are replenished in a timely manner, excess items are turned in to the Supply Department, unused ready-for-issue items are returned to correct bins, and that pre-expended bin procedures are not otherwise abused.

11.4.5 Local Purchase. Whenever a Supply Department goes directly to industry to obtain materials, they are involved in local purchase which is the second source of materials (the first and primary source being the integrated supply system. Most local purchases are within the category designated as "small purchases" or those of $10,000 or less per transaction. Most naval activities have purchase authority of $10,000 or less. Purchases greater than $10,000 must be referred to major field purchasing activities with regional purchase support responsibilities such as Naval Supply Centers and Naval Regional Contracting Offices. These purchases (contracts) involve the preparation of specs and formal solicitation of bid proposals and quotations (similar to NAVFAC construction contracts).

Methods. Confining our discussion to the transactions that CEC officers will commonly be involved with at the activity level, the following is a list of six local purchase methods and their salient features in outline form. It should be clearly understood that the authority to use these techniques was with the Supply Department at the activity level (i.e., only supply "officers" have materials/supplies purchase authority, just as only CEC officers can have construction contract authority.

1. IMPEREST FUND:

a. Quick and convenient method for purchases up to $150 per transaction for piority 7-15 requirements and up to $300 per transaction for priority 1-6 requirements (or for priority 7-15 if written justification is provided).

b. Similar to a petty cash fund - a revolving fund used for cash only purchases on a "cash and carry" or collect on delivery (COD) basis.

c. Activities may hold up to $5000 in their imprest fund depending on the volume of purchases. Funds are held and paid out by an accountable individual designated as the "Imprest Fund Cashier."

d. No competition is required if the price is considered fair and reasonable.

e. The following conditions must also be met for each imprest fund purchase:

1. One delivery (i.e., not a series of shipments).
2. Materials available within 30 days for COD shipments.
3. No complex technical items requiring technical specifications or inspections.

2. Blanket Purchase Agreements (BPA):

a. A very economical and efficient method for repetitive purchases of readily available off-the-shelf items such as electrical supplies, plumbing supplies, auto parts, etc. from local vendors.

b. Analogous to a "charge account" established by the Supply Department with local vendors in order to minimize overhead and administrative costs of placing numerous purchase orders with these vendors. The government receives one billing and makes one payment for all orders placed with each BPA vendor during the month.

c. The agreement is established on a DD-1155 purchase order form, incorporates discounts if applicable, does not specify costs by item and is effective for an indefinite period or until cancelled with 30 days notice by either party.

d. Orders are made by a phone "call" or informal memo to the vendor with a $5000 maximum limit per call.

e. Orders over $500 must be completed, i.e., a minimum of three quotes must be obtained or the circumstances documented if three quotes cannot be obtained.

3. Purchase Orders:

a. A standard method of making one time purchases up to $10,000 using the DD1155 form which is signed and forwarded to a supplier.

b. Constitutes a government offer to buy which is unilateral since written acceptance by the supplier is not required. Thus the issuance of a P.O. neither creates a contract nor affords assurance of the supplier's compliance or delivery.

c. Becomes a contract only when the supplier has tendered the requested performance. Until tendered, the government can revoke the offer. Once any part of the performance is tendered, the government is charge, "set-up" charge or other selling or manufacturing cost.

d. Also requires competition or a minimum of three quotes for purchases over $500.

4. Contracts:

a. A bilateral written agreement between the government offering to buy and a supplier accepting the offer to buy.

b. A supplier must sign a contract thus committing the supplier to perform in accordance with standard clauses and provisions indicated on the contract.

c. Gives government some legal clout over the vendor since the vendor can be liable for damages if the vendor fails to perform or "defaults" unless the default is a result of circumstances beyond his control such as "acts of God", strikes, etc.

5. Delivery Orders:

a. Order limits vary from $10 to $500,000 or more as specified under the terms of each contract. The ordering activity's purchase authority has no bearing in placing delivery orders.

5. National Credit Card:

a. Standard Form 144 utilized by authorized customers to make direct purchases from specified vendors in the same manner as with any plastic credit card.

b. Authorized only for on-the-road purchases of gas, oil, emergency repairs and boat and plane fuel.

Competition: As mentioned above, all purchases over $500 must be competed, which means that at least three quotes must be obtained by the purchasing agent. If three quotes cannot be obtained, the agent must then document the circumstances and indicate how the price was determined to be "fair and reasonable." For purchases less than $500, only one quote is necessary as long as the price appears fair and reasonable based upon the purchasing agent's experience or knowledge of the item, or upon readily available catalog prices etc. Additionally purchases under $500 must be rotated among available suppliers. This means that the lowest price vendor should not always get the order unless other vendor prices for the required items are considered so much higher as to be unfair or unreasonable. Competition may also be limited to minority and small business in the local area using "set aside" buys.

Sole Source Purchases: For requirements over $500 which can be obtained from only one supplier, a written sole source justification must be provided by the customer since the Defense Acquisition Regulations (the DOD purchase "bible") prohibits limiting competition to one supplier. This justification must provide a complete description of the required item including the intended use or application and those capabilities and characteristics of the item which limit its purchase to the sole source. To avoid sole source difficulties, PWO's should require PW personnel to develop purchase requirements in terms of "performance" specs vice "design" specs.

authorized activities.

b. Some of the schedules are mandatory for Navy activities while some schedules are optional meaning that we do not have to buy from them. In contrast, some schedules may not be used by the Navy. These limitations are specified on the schedule.

c. Must still compete GSA purchases over $500, if there is more than one GSA supplier listed (multi-award schedules) or justify in writing why the more expensive item is required.

d. Items normally purchased on GSA contracts include office equipments, light bulbs, tires, batteries, furniture, carpeting and floor and ceramic tile.

2. Federal Prison Industries (FPI)

a. A government corporation under the Department of Justice which provides training and employment for prisoners.

b. Articles produced are sold only to the Federal Government.

c. Mandatory items are listed in FPI catalogs and include mattresses, gloves, brooms, brushes, canvas goods, clothing, key punching, some furniture, upholstery, signs and shelving.

d. For items also listed on GSA schedules, Federal activities must go to FPI first.

3. National Industries for the Blind and Severly Handicapped (NIB)

a. A conglomeration of nonprofit agencies employing and training blind and handicapped persons.

b. Mandatory items are listed in a catalog and include such items as mattresses, SKILCRAFT ballpoint pens, hospital supplies, cleaning supplies, clothing items and office supplies.

c. For items listed by both FPI and NIB, Federal activities must go to FPI fist; if listed by both GSA and NIB, they must go to NIB first.

4. Miscellaneous Military Sources:

a. Navy Publication and Printing Offices for printing and reproduction services and equipment.

b. Government Printing Office for certain government forms.

c. Naval Regional Contracting Offices for certain items under their regional control such as rock and gravel, rock salt, stevedore services, etc.

d. Navy Inventory Control Points for specific items under their control.

e. DLA Integrated Managers for specific items under their control such as Defense Fuel Supply Center for fuel or Defense Construction Supply Center for large lumber purchases and construction equipment.

5. Exceptions to the mandatory sources are possible under one or more of the following criteria:

a. The mandatory source cannot meet the government's critical delivery deadline or specification requirements.

justified and been granted a waiver from the mandator source agency to purchase the item from other than tha agency.

PART 5 - THE DEFENSE SUPPLY SYSTEM

11.5.1 General. It was pointed out in the beginning of thi chapter that the Navy Supply System is integrated with th Defense Supply System. Actually more than half of th Navy's total material requirements are managed by th Defense Logistics Agency (DLA). DLA was established t purchase and centrally manage on a wholesale basis certai common items for all the military services.

Under this "single manager" concept each servic determination mines its gross requirements; DLA totals th requirements for all the service, purchases supplies fron commercial sources, and sells them to the service at its cos plus an extra charge for transportation, losses in stock, an similar minor costs.

The DLA headquarters is located at Cameron Station Alexandria, Virginia. This headquarters organization provide leadership and management over operational function decentralized to the field DLA activities. It should be note that this management is analogous to that of NAVSUP in th Navy. The field activities which are referred to as Defens Supply Centers (DSC) purchase and distribute material a outlined below:

1. **Defense Personnel Support Center, Philadelphi** Pennsylvania. Controls subsistence, medical supplies, an clothing.

2. **Defense Fuel Supply Center, Washington, D.C** Controls bulk petroleum and petroleum based chemicals. Th primary function of this organization is to purchas petroleum.

3. **Defense Electronics Supply Center, Daton, Ohi** Controls electronic and electrical equipment and repair parts.

4. **Defense Industrial Supply Center, Philadelphi** Pennsylvania. Controls industrial type items such a bearings, block and tackle, rigging and slings, rope cable an fittings, hardware, metal bars, sheets, and shapes.

5. **Defense Construction Supply Center, Columbu** Ohio. Controls construction material and automotive an construction equipment, components and repair parts.

6. **Defense General Supply Center, Richmon** Virginia. Controls furniture, food preparation equipmen recreation and athletic equipment, package petroleu products, office supplies, and cleaning supplies.

11.5.2 The DLA Distribution System. If we were to describe the functions of a DSC in the area of inventory management, we would basically be repeating what we have already outlined as the functions of an ICP in the Navy System. The six Defense Supply Centers are designated as Integrated Managers (IM's) and function as the counterpart of the Navy ICP's in the Defense Supply System.

1. **Distribution Depot (DD).** A distribution depot is simply a storage point for DLA material. Issue of material from these depots is centrally controlled by the cognizant Defense Supply Center and is based on requisitions received and processed centrally by the DSC. Consequently, DD's cannot accept requisitions directly and issues are made only when directed by the DSC. The principal DD's are located in Mechanicsburg, Pennsylvania; Memphis, Tennessee; Ogden, Utah; Tracy, California; Richmond, Virginia and Columbus, Ohio.

2. **Specialized Support Depot (SSD).** Because of the large number of afloat customers, DLA has established two SSD's to provide direct support to the Navy. (Other services do not have SSD's and therefore, submit all requisitions directly to the DSC's). The two SSD's are NSC Norfolk and NSC Oakland. The SSD's unlike the DD's, have the authority to receive requisitions directly and make issues locally. The inventory held at these depots is still owned and managed centrally by the cognizant DSC. Figure 11-5 shows a comparison between the Defense Supply System and the Navy Supply System.

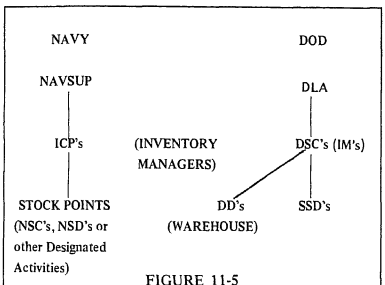


FIGURE 11-5
DEFENSE SUPPLY SYSTEM & NAVY SUPPLY SYSTEM

11.5.3 Funding the Defense Supply System. The Defense Stock Fund (DSF), administered by the Defense Logistics Agency, is similar in concept and operation to the Navy Stock Fund. DSF is utilized to buy and position items of stock which have common use and applications within the Department of Defense items under the inventory control of the Defense Logistics Agency. Upon the birth of DLA in fiscal year 1963, many common use items previously financed by, and held in the NSF, were transferred to and recapitalized in the DSF. The advent of the DSF has therefore accordingly reduced the size of the NSF. Many Navy supply activities hold on Navy premises, material owned by the DSF, i.e., DSF, wholesale stocks. It can be expected that the DSF owned volume and proportion of total stocks in Navy supply activities will increase as time passes and DLA takes control of more and more of the items presently in the Navy Supply System.

Both the Navy Stock Account and the Defense Stock appropriation, allotment, and cost accounting may be accomplished.

11.5.4 The Navy Retail System. As stated earlier, DLA manages over half of the Navy's material requirements. Since there are only two SSD's in the DLA distribution system, how do the other major Navy stock points satisfy their customer's requests for DLA managed material? The answer is simple. Material is bought from the DSC's with Navy Stock Fund money and positioned at Navy Stock Points. Navy activities acting in this capacity are called Navy Retail Stock Points. Under the retail concept, requirements are computed locally and replenishment is obtained by submitting requisitions to the DLA System.

The retail management function for Navy-owned stocks of DLA, GSA and TARCOM material is performed by the Fleet Material Support Office (FMSO) Mechanicsburg, Pennsylvania which acts as the Navy Retail Office. This centralized retail management is financial only and is accomplished by FMSO's apportionment of part of the NSF to the Retail Stock Points.

PART 6 - THE FEDERAL SUPPLY CLASSIFICATION SYSTEM

11.6.1 The Stock Number. Some type of material classification system is imperative for orderly handling of vast stores of materials, and for acquiring, inspecting, storing, and issuing these inumerable items. Under the Federal Supply Classification (FSC) System, most material used by the Navy is assigned a 13-digit National Stock Number (NSN), which is the same for all government agencies.

Cognizance Symbols. The 13 digit of the NSN are preceded by a 2-digit alphanumerical cognizance symbol, the purpose of which is to indicate which Bureau, Systems Command, office or Inventory Control Point (ICP), has control or "cognizance" over the supply and distribution of specified categories of material within the supply system and also to indicate which stores account (APA or NSA) the material is carried in. The second digit of the cognizance symbol is the key to the office. Bureau Systems Command, or Inventory Control Point having inventory control of the material. An odd number for the front digit shows that the material is carried in the Navy Stock Account (NSA), while an even number shows that the material is carried in the Appropriations Purchase Account (APA).

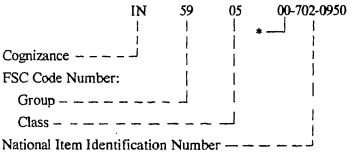
For example, in the cognizance symbol "2C", the "C" designates major construction and civil engineering equipment under the control of the Naval Facilities Engineering Command, while the "2" indicates that the material is carried in the Appropriations Purchased Account (APA). The purpose of Figure 11-6 is to give a general idea of how certain types of material are assigned to the various technical Commands, or Inventory Control Points. Figure 11-6, a cognizance symbol in which the first digit is a "9" denotes Defense Supply Agency (DSA) managed items which have been transfered into the Navy Stock Account with the exception of 9Q, which is Navy owned GSA material, and 9A, which is Navy owned TARCOM material.

Stock Groups and Classes. The Federal Supply Classification

The following breakdown of Group 75, Office Supplies, illustrates the division of group into FSC classes:

FSC Class	Titles
7510	Office Supplies (general)
7520	Office Devices and Accessories
7530	Stationery and Record Forms

Breakdown of National Stock Numbers. The 13 digits of the NSN are arranged in groups of 4, 2, 3 and 4 separated by hyphens. The group and class of an item make up the first four digits of the stock number, as shown above. The last nine digits are called the National Item Identification Number (NIIN), which identifies a specific item within a class. For example, the stock number for a fixed wire resistor is N5905-00-702-0950, which is broken down as follows:



*(NCB) National Codification Bureau Code

PART 7 - THE UNIFORM MATERIAL MOVEMENT AND ISSUE PRIORITY SYSTEM (UMMIPS)

11.7.1 General. When you consider the volume of requisitions processed through the Supply System and the resulting competition for resources, transportation, warehousing, processing time, etc., it becomes inperative that we have a means to distinguish between urgently needed repair parts and paper clips. In essence, within the integrated Supply System we need a system for segregating requisitions in order of importance.

This sense of priority is achieved through UMMIPS; for future reference OPNAV Instruction 4614.1 series applies. The system is based on two factors:

1. A Force Activity Designator (FAD).
2. An Urgency of Need Designator (UND).

The FAD is a roman number, I-V, assigned by JCS, CNO or principal Navy commands. It establishes the relative military standing and importance of the ship or shore activity

the requisitioning activity. The criteria for determining UN is contained within 4 tables which are part of the UMMI instruction referenced earlier. In general, the following UN definitions apply:

a. Unable to perform mission without the need material.

b. Ability to perform mission is impaired withc the needed material.

c. Routine requirements such as administrati items, stock, etc.

With the FAD assigned and the UND determine reference to Figure 11-7 will reveal the Issue Priori Designator (IPD) that can be assigned to the requisition the requisitioning command. The IPD establishes t relationship between FAD and UND and will determine hc quickly the supply system should be able to respond to yo material requirements. The IPD's are tied in with transportation priority system which is beyond the scope this discussion.

PART 8 - CONCLUSION

11.8.1 Conclusion. Although it will not be discussed in tl chapter, disposal of excess and or obsolescent/deteriorat materials and equipment is also an integral and importa function of the Supply System. For detailed information disposal and condition codes, see NAVSUP Manual, Volur 2, Chapter 8.

It should be quite evident that supply support and t coordination of material requisitions within the Public Wor Department are matters of vital concern to the Public Wor Officer. Although each Civil Engineer Corps Officer a each Division Director is encouraged to develop a clc working relationship with his counterpart in the Supp Department, the number of persons authorized to si requisitions and/or to receipt for material deliveries should kept to a bare minimum.

Supply Corps Officers should be requested to expl procedures and limitations; discuss purchase proble related to requests from Public Works; and conduct traini classes periodically to develop greater understanding on t part of key supervisory personnel within the Public Wor Department.

Key Supply Department supervisory personnel might al benefit by similar activity on the part of CEC Office relating to work request, trouble/service calls/"cumshaw etc. Through these efforts, economic material procureme practices relating to the various services, accounts a transactions outlined herein should become harmonious a routine.

Cognizance Symbol	Cognizant inventory manager	Stores account	Technical responsibility	Short title	Source of material identification
ØA	Field Command, Defense Nuclear Agency	None	Department of Energy	Department of Energy war reserve nuclear ordnance in Navy custody	Federal Supply Catalog, C1100 series, Nucl Ordnance Items
ØE	Naval Sea Systems Command	None	Naval Sea Systems Command	Special prepositioned war reserve material	Catalog of Advance Base Material NAVSEA 0900-LP-090-4010
ØI	Naval Publications and Forms Center, Philadelphia	None	Navy Publications and Printing Service Management Office	Publications	Navy Stock List of Publications and Forms, NAVSUP PUB 2002 Cognizance Symbol
ØK	Chief, Naval Education and Training Support	None	Chief, Naval Education and Training Support	Library materials	Chief, Naval Education and Training Suppo
ØP	Naval Supply Center, Charleston	None	Strategic Systems Project Office	Polaris/Poseidon/Trident technical publications	Navy Stock List of Publications and Forms, NAVSUP PUB 2002 Cognizance Symbol
ØT	Commandant of the Marine Corps	None	Commandant of the Marine Corps	Expendable ordnance	Catalog of Navy Ammunition Stock (NAVSEA OD 12067)
ØV	Naval Air Systems Command	None	Naval Air Systems Command	Consumable Oil Analysis Calibration Standards	
ØX	Commander, Military Sealift Command	None	Commander, Military Sealift Command	Military Sealift Command special material	MSC Standard Item Master Identification NIF-MSC Special Material (MSTS Form 4410-2)
1B	Naval Supply Systems Command	NSA	Naval Supply Systems Command	Fuel reclamation	
1H	Navy Ships Part Control Center	NSA	Various systems commands	Navy Stock Fund material assigned to SPCC for inventory management	Federal Supply Catalog, Management Data L Navy
1I	Naval Publications and Forms Center, Philadelphia	NSA	Navy Publications and Printing Service Management Office	Forms	Navy Stock List of Publications and Forms, NAVSUP PUB 2002 Cognizance Symbol
1Q	Navy Resale System Office	NSA	Navy Supply Systems Command	Ship's store and commissary store and material	Local contract bulletins and Ship's Store Af Stock Catalog
1R	Navy Aviation Supply Office	NSA	Naval Air Systems Command	Aeronautical, photographic, and meteorological material (consumable or expense type material)	Federal Supply Catalog, Management Data List-Navy
2B	Navy Ships Part Control Center	APA	Naval Supply Systems Command	Materials handling equipment	Federal Supply Catalog, Identification List
2C	Civil Engineer Support Office	APA	Naval Facilities Engineering Command	Major construction and civil engineering equipment	Federal Supply Catalog, Management Data List-Navy
2E	Navy Ships Parts Control Center	APA	Naval Air Systems Command	Conventional air ammunition	Catalog of Navy Ammunition Stock (NAVAIR 11-1-116)

FIGURE 11-6
COGNIZANCE SYMBOL RESPONSIBILITY

Cognizance Symbol	Cognizant inventory manager	Stores account	Technical responsibility	Short title	Source of materi identification
2F	Naval Sea Systems Command	APA	Naval Sea Systems Command	Major shipboard electronic equipment	Federal Supply Catalog, Manage List-Navy
2H	Navy Ships Parts Control Center	APA	Naval Sea Systems Command	Shipboard electronic and base equipment, assemblies, components, and repair parts (repairable or investment type material)	Federal Supply Catalog, Manage List-Navy
2J	Naval Sea Systems Command	APA	Naval Sea Systems Command	Major shipboard ordnance equipment	Federal Supply Catalog, Manage List-Navy
2M	Naval Air Systems Command	APA	Naval Air Systems Command	Cryogenics and mobile facilities, and related ancillary equipment	Federal Supply Catalog, Manage List-Navy
20	Naval Training Equipment Center	APA	Naval Training Equipment Center	Training equipment	Index to Directory of Naval Trai Cognizance Symbol 20 OI 05
2P	Strategic Systems Project Office-- Naval Plant Representative,	APA	Strategic Systems Project Office	Principal items of the Polaris/ Poseidon/Trident fire control and guidance subsystems	Federal Supply Catalog, Manage List-Navy
2R	Navy Aviation Supply Office	APA	Naval Air Systems Command	Aeronautical, photographic, and meteorological material (repairable or investment type material)	Federal Supply Catalog, Manage List-Navy
2S	Naval Sea Systems Command	APA	Naval Sea Systems Command	Major shipboard hull, mechanical, and electrical equipment	Federal Supply Catalog, Manage List-Navy
2T	Navy Ships Parts Control Center	APA	Naval Sea Systems Command	Conventional ammunition	Catalog of Navy Ammunition St OD 12067)
2U	Navy Ships Part Control Center	APA	Naval Sea Systems Command	Surface missile repair parts	Federal Supply Catalog, Manage List-Navy
2V	Naval Air Systems Command	APA	Naval Air Systems Command	Aeronautical ground support equipment and targets/drones	Federal Supply Catalog, Manage List-Navy
2W	Naval Air Systems Command	APA	Naval Air Systems Command	Photographic equipment	Federal Supply Catalog, Manage List-Navy
2X	Strategic Systems Project Office-- Naval Plant Representative (SPL-60), Sunnyvale, CA	APA	Strategic Systems Project Office	Principal items of the Polaris/ Poseidon/Trident missile subsystems; complete end items, missile and missile support equipment	Federal Supply Catalog, Manage List-Navy
2Z	Naval Electronic Systems Command	APA	Naval Electronic Systems Command	Shore (ground and shipboard electronic equipment	Federal Supply Catalog, Manage List-Navy

Cognizance Symbol	Cognizant inventory manager	Stores account	Technical responsibility	Short title	Source of material identification
4A	Navy Ships Parts Control Center	APA	Naval Air Systems Command	Ordnance and electronic equipments, and repair parts related to the Naval Air Systems Command	Federal Supply Catalog, Management Da List-Navy
4E	Navy Ships Part Control Center	APA	Naval Air Systems Command	Air launched guided missiles	Catalog of Navy Ammunition Stock (NAVAIR 11-1-116)
4G	Navy Ships Parts Control Center	APA	Naval Electronic Systems Command	Electronic material to support Naval Electronic Systems Command equipment	Federal Supply Catalog, Management Da List-Navy
4H	Navy Ships Part Control Center	APA	Naval Sea Systems Command	Deep submergence vessles, support of	Federal Supply Catalog, Management Dat List-Navy
4J	Naval Sea Systems Command	APA	Naval Sea Systems Command	Metrology equipment	Federal Supply Catalog, Management Dat List-Navy
4M	Naval Air Systems Command	APA	Naval Air Systems Command	Meteorological material	Federal Supply Catalog, Management Dat List-Navy
4N	Naval Ships Parts Control Center	APA	Naval Sea Systems Command	Electronic material to support Naval Sea Systems Command equipment	Federal Supply Catalog, Management Dat List-Navy
4O	Navy Ships Parts Control Center	APA	Naval Oceanographic Office	Electronic material to support Naval Oceanographic programs	Federal Supply Catalog, Management Dat List-Navy
4P	Strategic Systems Project Office--Naval Plant Representative (SPL (W)), Sunnyvale, CA	APA	Strategic Systems Project Office	Principal items of the Polaris/Poseidon/Trident launching and handling subsystems	Federal Supply Catalog, Management Dat List-Navy
4R	Navy Branch Aviation Supply	APA	Naval Air Systems Command	Catapult and arresting gear material (repairable or investment type material)	Federal Supply Catalog, Management Dat
4T	Navy Ships Parts Control Center	APA	Naval Sea Systems Command	Torpedoes, components, and SUBROC components	Catalog of Navy Ammunition Stock (NAVSEA OD 12067)
4U	Navy Ships Parts Control Center	APA	Naval Sea Systems Command	Anti-submarine warfare weapons support material	Federal Supply Catalog, Management Dat List-Navy
4V	Naval Air Systems Command	APA	Naval Air Systems Command	Aircraft engines	Federal Supply Catalog, Management Dat List-Navy
4X	Strategic Systems Project Office--Naval Plant Technical Representative (SPI), Anaheim, CA	APA	Strategic Systems Project Office	Secondary items supporting test instrumentation equipments unique to Trident	FBM Master Repair Lists (MRLs), Strateg Systems Project Office Stock Referenc (SRLs), and FBM allowance lists
4Z	Navy Aviation Supply Office	APA	Naval Air Systems Command	Airborne armament equipment	Federal Supply Catalog Management Dat List-Navy
5L/*CM	Navy Fleet Material Support Office	NSA	Army Communications Security Logistics Agency	Consumable communications material	Federal Supply Catalog, Management Dat List-Navy

*DLA/GSA/MILSVC cataloging codes equivalent to cognizance symbols

FIGURE 11-6 (Cont'd)
COGNIZANCE SYMBOL RESPONSIBILITY

Cognizance Symbol	Cognizant inventory manager	Stores account	Technical responsibility	Short title	Source of material identification
SM/*CU	Navy Fleet Material Support Office	NSA	Army Electronics Material Readiness Activity	Consumable electronics material readiness material	Federal Supply Catalog, Managem List-Navy
SN/*SJ	Navy Fleet Material Support Office	NSA	San Antonio Air Logistics Center	Consumable cryptologic material	Federal Supply Catalog, Managem List-Navy
SP/*SP	Navy Fleet Material Support Office	NSA	San Antonio Air Logistics Center	Consumable special weapons related material	Federal Supply Catalog, Managem List-Navy
SR	Navy Branch Aviation Supply Office	NSA	Naval Air Systems Command	Catapult and arresting gear material (consumable or expense type material)	Federal Supply Catalog, Managem List-Navy
6A	Navy Ships Parts Control Center	APA	Strategic Systems Project Office	Secondary items supporting Polaris/Poseidon/Trident subsystems, less navigation	Federal Supply Catalog, Managem List-Navy
6E	Navy Ships Parts Control Center	APA	Naval Air Systems Command	Air missile repair parts related to Naval Air Systems Command	Federal Supply Catalog, Managem List-Navy
6G	Navy Ships Parts Control Center	APA	Naval Electronics Systems Command	General purpose electronic test equipment	Federal Supply Catalog, Managem List-Navy
6H	Navy Ships Parts Control Center	APA	Strategic Systems Project Office	Secondary items supporting Polaris/Poseidon/Trident navigation subsystems	Federal Supply Catalog, Managem List-Navy
6M	Navy Ships Part Control Center	APA	Naval Air Systems Command	Cryogenic equipments and guided missile cradles to support Naval Air Systems Command equipments and weapons systems	Federal Supply Catalog, Managem List-Navy
60	Navy Ships Parts Control Center	APA	Naval Oceanographic Office	Shipboard material to support Naval Oceanographic programs	Federal Supply Catalog, Manager List-Navy
6P	Strategic Systems Project Office--Naval Plant Representative (SPL-60), Sunnyvale, CA	APA	Strategic Systems Project Office	Principal items of the Polaris/Poseidon/Trident missile subsystems, less complete end items	Federal Supply Catalog, Manager List-Navy
6R	Navy Aviation Supply Office	APA	Naval Air Systems Command	Aeronautical ground support equipment (repairable or investment type material)	Federal Supply Catalog, Manager List-Navy
6T	Naval Mine Engineering Facility	APA	Naval Sea Systems Command	Underwater mines and components	Catalog of Navy Ammunition St (NAVSEA OD 12067)
6U	Navy Ships Parts Control Center	APA	Naval Sea Systems Command	Surface weapons, equipments and repair parts	Federal Supply Catalog, Manager List-Navy
6V	Naval Aviation Logistics Center	APA	Naval Air Systems Command	Technical directive change kits	
6X	Navy Ships Parts Control Center	APA	Strategic Systems Project Office	Secondary items supporting Poseidon/Trident systems	FBM Master Repair Lists (MRLs) Systems Project Office Stock (SRLS), and FBM allowance li

*DLA/GSA/MILSVC cataloging codes equivalent

FIGURE 11-6 (Cont'd)

Cognizance Symbol	Cognizant inventory manager	Stores account	Technical responsibility	Short title	Source of material identification
8A	Navy Ships Parts Control Center	None	Naval Sea Systems Command/ Naval Air Systems Command	Inert nuclear weapons material	Nuclear Weapons Coordinated Shipboa Allowance List
8E	Naval Air Systems Command	APA	Naval Air Systems Command	Air launched missile material	Catalog of Navy Ammunition Stock (NAVAIR 11-1-116)
8H	Navy Ships Parts Control Center	APA	Naval Sea	Secondary items supporting Polaris/Poseidon Sonar	"Q" type activity control numbers, allo parts lists--FBM; master repair lists (and applicable sonar technical publi
8M	Naval Air Systems Command	APA	Naval Air Systems Command	Major aeronautical launch and recovery systems and equipment	Federal Supply Catalog, Management D List-Navy
8N	Navy Aviation Supply Office	APA	Naval Training Equipment Center	Training equipment and repair parts	Federal Supply Catalog, Management D List-Navy
8P	Strategic Systems Project Office--- Technical Representative, Great Neck, L.I., NY	APA	Strategic Systems Project Office	Principal items of the Polaris/ Poseidon/Trident navigation subsystems, less inertial navigation	Federal Supply Catalog, Management D List-Navy (items applicable only to f ballistic missile submarines)
8R	Navy Aviation Supply Office	APA	Naval Air Systems Command	Major aeronautical systems and equipments	Federal Supply Catalog, Management D List-Navy
8S	Naval Sea Systems Command	APA	Naval Sea Systems Command	ASROC material	Catalog of Navy Ammunition Stock (NAVSEA OD 12067)
8T	Naval Sea Systems Command	APA	Naval Sea Systems Command	Surface launched guided missiles and components	Catalog of Navy Ammunition Stock (NAVSEA OD 12067)
8U	Navy Ships Parts Control Center	APA	Naval Air Systems Command	Sonobuoys	Catalog of Navy Ammunition Stock (NAVAIR 11-1-116)
8X	Strategic Systems Project Office--- Naval Plant Technical Representative (SPA), Anaheim, CA	APA	Strategic Systems Project Office	Principal items of Polaris/Poseidon/ Trident inertial navigation equipment, components, and repair parts	Federal Supply Catalog, Management D List-Navy
9A/*AZ	Navy Fleet Material Support Office (retail management functions)	NSA	Naval Facilities Engineering Command	Navy owned stocks of parts peculiar to combat and tactical vehicles of Army design	Federal Supply Catalog, Management D List-Navy
9B	Navy Supply Systems Command	NSA	Naval Supply Systems Command	Financial entry only. To accommodate Navy Stock Account processing of material purchased from the Defense Logistics Agency for issue to the Security Assistance Programs and Foreign Military Sales, the Coast Guard, or as government furnished material	
9C/*AX	Navy Fleet Material Support (retail management functions)	NSA	Naval Facilities Engineering Command	Navy owned stocks of defense construction material	Federal Supply Catalog, Management D List-Navy

*DLA/GSA/MILSVC cataloging codes equivalent to cognizance symbols

FIGURE 11-6 (Cont'd)
COGNIZANCE SYMBOL RESPONSIBILITY

Cognizance Symbol	Cognizance inventory manager	Stores account	Technical responsibility	Short title	Source of material identification
9D/*CY	Navy Fleet Material Support Office (retail management functions)	NSA	Various commands	Navy owned stocks of clothing, textiles, and related items managed by the Defense Personnel Support Center	Federal Supply Catalog, Management List-Navy
9E/*AJ	Navy Fleet Material Support Office (retail management functions)	NSA	Various commands	Navy owned stocks of consumable material managed by the Army within the Army Troop Support and Aviation Materiel Readiness Command	Federal Supply Catalog, Management List-Navy
9F/*TG	Navy Fleet Material Support Office (retail management functions)	NSA	Various commands	Navy owned stocks of consumable material managed by the Air Force within the Warner Robins Air Logistics Center	Federal Supply Catalog, Management List-Navy
9G/*CX	Navy Fleet Material Support Office (retail management functions)	NSA	Various bureaus and commands	Navy owned stocks of defense general material	Federal Supply Catalog, Management List-Navy
9H/*BF	Navy Fleet Material Support Office (retail management functions)	NSA	Various commands	Navy owned stocks of consumable material managed by the Army within the Army Armament Materiel Readiness Command	Federal Supply Catalog, Management List-Navy
9I/*SU	Navy Fleet Material Support Office (retail management functions)	NSA	Navy Aviation Supply Office	Navy owned stocks of consumable material managed by the Air Force within the Ogden Air Logistics Center	Federal Supply Catalog, Management List-Navy
9J/*SX	Navy Fleet Material Support Office (retail management functions)	NSA	Various commands	Navy owned stocks of consumable material managed by the Air Force within the Oklahoma City Air Logistics Center	Federal Supply Catalog, Management List-Navy
9K/*TA	Navy Fleet Material Support Office (retail management functions)	NSA	Various Commands	Navy owned stocks of consumable material managed by the Air Force within the Sacramento Air Logistics Center	Federal Supply Catalog, Management List-Navy
9L/*KX	Navy Fleet Material Support Office (retail management	NSA	Bureau of Medicine and Surgery	Navy owned stocks of defense medical material	Federal Supply Catalog, Management List-Navy
9M/*CZ	Navy Fleet Material Support Office	NSA	Naval Supply Systems Command	Navy owned stocks of defense subsistence material	Federal Supply Catalog, Management List-Navy
9N/*TX	Navy Fleet Material Support Office (retail management functions)	NSA	Various commands	Navy owned stocks of defense electronic material	Federal Supply Catalog, Management List-Navy
90/*PA	Navy Fleet Material Support Office (retail management (functions)	NSA	Marine Corps Logistic Support Base, Atlantic	Navy owned stocks of consumable material managed by the Marine Corps within the Marine Corps Logistic Support Base, Atlantic	Federal Supply Catalog, Management List-Navy

*DLA/GSA/MILSVC cataloging codes equivalent to cognizance symbols

FIGURE 11-6 (Cont'd)
COGNIZANCE SYMBOL RESPONSIBILITY

Cognizance Symbol	Cognizance inventory manager	Stores account	Technical responsibility	Short title	Source of material identification
9Q/*GG	Navy Fleet Material Support Office (retail management functions)	NSA	None	Navy owned stocks of items accepted by the General Services Administration for support of Navy requirements	Federal Supply Catalog, Management D List-Navy
0S/*BD	Navy Fleet Material Support Office (retail management functions)	NSA	Various commands	Navy owned stocks of consumable material managed by the Army within the Army Missile Materiel Readiness Command	Federal Supply Catalog, Management D List-Navy
9V/*SE	Navy Fleet Material Support Office (retail management functions)	NSA	Various commands	Navy owned stocks of consumable materiel managed by the Air Force within the San Antonio Air Logistics Center	Federal Supply Catalog, Management D List-Navy
9W/*CT	Navy Fleet Material Support Office (retail management functions)	NSA	Various commands	Navy owned stocks of consumable materiel managed by the Army within the Army Troop Support and Aviation Materiel Readiness Command	Federal Supply Catalog, Management D List-Navy
9X/*KY	Navy Fleet Material Support Office	NSA	Navy Petroleum Office	Navy owned stocks of petroleum material managed by the Defense Fuel Supply Center	Federal Supply Catalog, Management D List-Navy
9Y/*CL	Navy Fleet Material Support Office (retail management functions)	NSA	Various commands	Navy owned stocks of consumable material managed by the Army within the Army Communications and Electronics Materiel Readiness Command	Federal Supply Catalog, Management D List-Navy
9Z/*KZ	Navy Fleet Material Support Office (retail management functions)	NSA	Various bureaus and commands	Navy owned stocks of defense industrial material	Federal Supply Catalog, Management D List-Navy

*DLA/GSA/MILSVC cataloging codes equivalent to cognizance symbols

FIGURE 11-6 (Cont'd)
COGNIZANCE SYBMOL RESPONSIBILITY

II	02	05	12
III	03	06	13
IV	07	09	14
V	08	10	15

FIGURE 11-7
DERIVATION OF PRIORITY DESIGNATORS
(Relating Force/Activity Designators to Urgency of Need)

TIME SEGMENT	TIME STANDARD (IN CALENDAR DAYS) FOR PRIORITY DESIGNATORS:		
	01-03	04-08	09-15
A. Requisition Submission	1	1	2
B. Availability Determination and (See Fig. 11-9) Storage Site Processing	3	4	13
C. Transportation Hold and CONUS Intransit to CONUS Requisitioner, Canada, or to POE	3	6	13
D. Oversea Shipment/Delivery:			
1. To Alaska, Hawaii, South America, Caribbean, or North Atlantic	4	4	38
2. To Northern Europe, Mediterranean, or Africa	4	4	43
3. To Western Pacific	5	5	53
E. Receipt Take up by Requisitioner	1	1	3

FIGURE 11-8
UMMIPS TIME STANDARDS

	TIME STANDARD (IN CALENDAR DAYS) FOR PRIORITY DESIGNATORS:		
	01-03	04-08	09-15
FOR: ICP and Stock Point Action:			
a. System Referral ICP Availability Determination	2	2	5
b. Stock Point Depot/Storage Site Processing	1	2	8
OR: Stock Point Action Only:			
a. System Referral (only if applicable)	1	1	2
b. Stock Point Availability Determination and Depot/Storage Site Processing	2	3	11

FIGURE 11-9
AVAILABILITY DETERMINATION AND STORAGE SITE PROCESSING

CHAPTER 12
ENVIRONMENTAL PROTECTION

The concern in recent years over the problems of environmental quality has made this issue of highest priority. The Federal Government, through laws and Executive Orders, has addressed the issue that if we are to continue to rely on the air, land, and water resources of this earth — upon which our survival depends — we must treat these resources with care and respect. The Navy's operations are within those principle resources and therefore must be concerned with the impact it has on the quality of the environment.

This chapter addresses the broad area of environmental protection and provides an awareness of how the Public Works Department and the Public Works Officer are involved in the environmental protection efforts on a continuing basis.

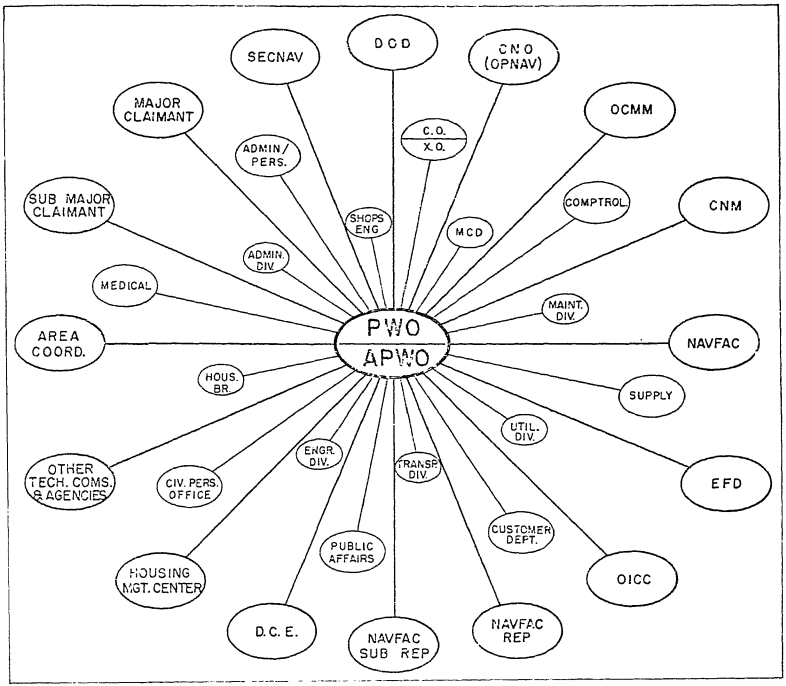


FIGURE 12-1
THE PLAYERS INVOLVED IN ENVIRONMENTAL PROTECTION

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CHAPTER 12 — ENVIRONMENTAL PROTECTION

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2. NAVCOMPINST 7020.18, *Trash and Waste Material Recycling*
3. NAVFACINST 6250.3D, *Pest Management Operations in the Naval Shore Establishment; Performance and reporting of*

Administrator: The Administrator of the U.S. Environmental Protection Agency.

AICUZ: Air Installations Compatible Use Zones.

Air Quality Control Region: For Navy purposes, an air quality control region may be considered any interstate area, or major intrastate area, deemed necessary by the EPA for the attainment and maintenance of a single set of air quality standards.

CEIS: Candidate Environmental Impact Statement.

CEQ: Council on Environmental Quality.

CHIL: Consolidated Hazardous Item List.

Code of Federal Regulations (CFR): A codification of the general and permanent rules published in the Federal Register by the executive departments and agencies of the Federal Regulations is kept up to immediate date by the individual issues of the Federal Register. These two publications must be used together to determine the latest version of any given rule.

Council on Environmental Quality (CEQ): A council established by P.L. 91-190, the National Environmental Policy Act of the President and is assisted by a staff of technical experts representing many disciplines. The duties of the Council are essentially to:

Assist and advise the President in pertinent matters;

Gather timely and authoritative information concerning conditions and trends in the quality of the environment;

Review and appraise the various programs and activities of the Federal government;

Develop and recommend national policies;

Conduct investigations, studies, surveys, research and analysis; and

Document and define changes in the natural environment.

DEIS: Draft Environmental Impact Statement.

Discharge: Includes, but is not limited to, any spilling, leaking, pumping, pouring, emitting, emptying, or dumping.

Dredged Material: Any material excavated or dredged from the navigable waters of the United States including any runoff or overflow which occurs during a dredging operation or from a contained land or water disposal area.

EFD: Engineering Field Division of the Naval Facilities Engineering Command.

EIA: Environmental Impact Assessment.

EIS: Environmental Impact Statement.

Environmental Pollution: That condition which results from the presence of chemical, physical or biological agents in the air, water, or soil which so alter the natural environment that an adverse effect is created on human health or comfort, fish and wildlife, other aquatic resources, plant life, structures, or equipment to the extent of producing economic loss, impairing recreational opportunities or marring natural beauty and aesthetics.

EPA: Environmental Protection Agency.

Federal Register: Published daily, Monday through Friday, by the Office of the Federal Register, National Archives and Records Service, General Services Administration. Distribution is made only by the Superintendent of Documents, U.S. Government Printing Office, Washington, DC, 20402. It provides a uniform system for making available to the public regulations and legal notices issued by the Executive Branch of the Federal government.

Hazardous Substance: Elements and compounds, other than oil which, when discharged in any quantity into or upon the navigable waters of the United States or adjoining shorelines or the waters of the contiguous zone, present an imminent and substantial danger to the public health or welfare, including, but not limited to, fish, wildlife, shorelines, and beaches. (It should be recognized that virtually any substance has the potential for presenting an imminent and substantial danger to the public health or welfare depending upon the amount, concentration, properties and effects of the substance discharged and the character and circumstances of the receiving water.)

Hazardous Waste: Waste materials that are: (1) toxic or poisonous; (2) corrosive; (3) irritating or sensitizing; (4) radioactive; (5) biologically infectious; (6) explosive; or (7) flammable; and (8) that which presents a significant hazard to human health and the environment. They include, but are not limited to, those materials and concentrations of materials that are determined to be toxic by the Secretary of Health, Education, and Welfare pursuant to the Occupational Safety and Health Act.

National Pollutant Discharge Elimination System (NPDES): The system for issuing, conditioning, and denying permits for the discharge of pollutants from point sources into the navigable waters, the contiguous zone, and the oceans, by the Administrator of the Environmental Protection Agency

amended.

Natural Resources: Include forests, fish, wildlife, soil, water and plants (including grasslands).

Naval Environmental Protection Support Service (NEPSS): A centralized operation established within the Chief of Naval Material organization to collect, process, and disseminate environmental protection data to document the extent to which the environment is affected by Navy facilities and operations.

NEPA: National Environmental Policy Act (PL 91-190).

NEPSS: Naval Environmental Protection Support Service.

NESO: Navy Environmental Support Office.

NPDES: National Pollutant Discharge Elimination System. NPDES is a system by which the EPA issues permits for the discharge of any pollutant upon condition that such discharge will meet all applicable requirements of the Federal Water Pollution Control Act.

Oil: Oil of any kind or in any form, including but not limited to, petroleum, fuel oil, sludge, oil refuse, and oil mixed with wastes other than dredged spoil.

Oil Spill:

Minor Spill: A discharge of oil of less than 1,000 gallons in inland waters, or less than 10,000 gallons in coastal waters, or a discharge of any material in a quantity that does not pose a threat to the public health or welfare. Discharges that: (1) occur in or endanger critical water areas; (2) generate critical public concern; (3) become the focus of an enforcement action; or (4) pose a threat to public health or welfare, should be classified as medium or major spills depending on their degree of impact.

Medium Spill: A discharge of 1,000 gallons to 10,000 gallons in the inland waters or 10,000 gallons to 100,000 gallons in coastal waters, or a discharge of any quantity of material that poses a threat to public health or welfare. The definition of *minor spill* covers those spills which might be classified as major even though their quantities conform to the definition of a medium spill.

Major Spill: A discharge of oil of more than 10,000 gallons in inland waters or more than 100,000 gallons in coastal waters or a discharge of any quantity of material or substance that substantially threatens the public health, or generates wide public interest.

Potential Spill: Any accident or other circumstance which threatens to result in the discharge of oil or hazardous polluting substance. A potential spill shall be classified as to its severity based on foregoing guidelines.

Oil Waste: Any liquid petroleum product mixed with waste water and/or oil in any amounts which, if discharged overboard, would cause or show a sheen on the water.

Pest: Any insect, rodent, nematode, fungus, weed; any other form of terrestrial or aquatic plant or animal life or virus, bacteria, or other micro-organism (except viruses, bacteria, or other micro-organisms on or in living man or other living animals) which the EPA declares to be a pest.

Pesticide: Any substance or mixture of substances intended for preventing, destroying, repelling, or mitigating any pest; any substance or mixture of substances intended for use as a plant regulator, defoliant or desiccant.

Pest Management: The management of programs which include determination of the need for, and methods of, application of all biological, physical, and chemical techniques intented to reduce disease vector and economic pest populations to acceptable levels, with considerations given to the effects of control operations and pesticide disposal on other elements of the environment. It requires professional staffing to assure that programs are carried out with optimum safety, efficiency and environmental protection.

Point Source: For the purposes of the Federal Water Pollution Control Act, any discernible, confined and discrete conveyance, including but not limited to, any pipe, ditch, channel, tunnel, conduit, well, discrete fissure, container, rolling stock, concentrated animal feeding operation, or vessel or other floating craft, from which pollutants are or may be discharged.

Public Health or Welfare: Includes consideration of all factors affecting the health and welfare of man including, but not limited to, human health, the natural environment, fish, shellfish, wildlife, and public and private property, shorelines and beaches.

Recovered Resources: Materials or energy recovered from solid wastes.

Regional Administrator: One of the Regional Administrators of the U.S. Environmental Protection Agency.

RESO: Regional Environmental Support Office.

Sanitary Landfill: A land disposal site employing an engineered method of disposing of solid wastes on land in a manner that minimizes environmental hazards by spreading the solid wastes in thin layers, compacting the solid wastes to the smallest practical volume, and applying cover materials at the end of each operating day.

Schedule of Compliance: A schedule of remedial measures including an enforceable sequence of actions or operations leading to compliance with an effluent limitation, other limitation, prohibition, or standard.

SPCC: Spill Prevention Control and Countermeasure.

State Water Pollution Control Agency: A state agency, designated by the Governor, having responsibility for enforcing state laws relating to the abatement of pollution.

12.1.1 Introduction

A. The Challenge. In the past several years significant emphasis has been placed on improving and protecting the environment in which we live. This emphasis has resulted in considerable environmental legislation and the establishment of both private and governmental organizations which concern themselves with the protection and enhancement of the environment. The Navy has also long been involved in the *environmental movement*, especially the activity public works officer whose realm of responsibility encompasses the Navy's shore establishment. The public works officers environmental challenges have in particular been great since the majority of the Naval bases are located within the fragile coastal zones on the eastern, western and gulf seaboards. A typical Navy shore activity could be compared to a self-contained city with all the associated environmental concerns of air, water, solid waste, and noise pollution compounded by the Navy base infrastructure of industrial processes, ships, aircraft, etc. To meet the environmental challenges the Navy has adopted a policy to actively participate in a program to protect and enhance the quality of the environment, through strict adherence to all applicable regulatory standards, and by initiating action to control pollution caused by Navy facilities. The Navy's program includes cooperation with federal, state, and local environmental protection organizations.

Maximum effort is being made to incorporate environmental pollution prevention features in the basic design of conversion, alteration, expansion, extension, and construction of Navy facilities. Of course, the preferred method for abatement and control of environmental pollution is at the source of the pollutants with the intent of environmental pollution prevention being integrated into new planned projects or products. Overall, the Navy's philosophy is to consider environmental protection and enhancement simply as a part of *doing business*.

B. Funding Support. To assist in directing dollars to correct pollution problems the Navy provides *fenced* or dedicated funding for corrective environmental projects. Accordingly, all funds appropriated and apportioned for corrective and preventive projects under the Navy Environmental Protection Program can not be used for other purposes. This policy removes the Navy's environmental funding needs from direct competition with the operational funding needs of the Navy to procure *beans, bullets and black oil.* As excellent reference source to gain an in depth understanding of the guidelines and responsibilities for the administration of the Navy's environmental protection program is OPNAVINST 6240.3D, *Environmental Protection Manual*, which is scheduled for publication in calendar year 1975.

12.1.2 The Environmental Key Players.

A. Chief of Naval Operations. CNO shoulders the responsibility for the Navy's environmental program and provides guidelines and specifies responsibility for the administration of the environmental program. The Environmental Protection Division (OP-45) within the office of CNO under the direction of the Deputy CNO for Logistics, directed by a CEC officer, performs the following

monitors the Navy's Environmental Protection Program.

2. Effects coordination with DOD and with nonmilitary agencies involved in environmental quality matters.

3. Provides Navy focal point for review of environmental impact statements.

B. Major Claimant. Claimants are responsible for identifying and maintaining current information concerning all aspects of their operations significantly effecting environmental quality, and determining the feasibility of taking necessary actions to improve environmental quality. Each major claimant has assigned a focal point to coordinate all environmental concerns within the claimants area of responsibility.

C. Activity. It is the commanding officer or public works officer who bears the primary responsibility for cooperation with federal, state, interstate and local pollution control agencies with respect to control and abatement of environmental pollution. However, to insure proper coordination and to maintain a local point of technical assistance, activities coordinate environmental matters relating to federal, state, interstate and local pollution control agencies, with the Engineering Field Divisions. It is the activity who can best recognize their environmental problems, evolve solutions and insure a viable activity environmental program. In most cases it will be found that it is the PWO who has been tasked by the activity CO with the challenge of instituting and maintaining a cohesive and viable activity environmental program. However, there is much assistance available to the PWO from other commands to help the activity, specifically the NAVFAC Engineering Field Divisions.

D. The Naval Environmental Protection Support Service (NEPSS).

1. NEPSS. NEPSS, under the program management of NAVFAC, is a technical support service designed to acquire, collect, assemble, process, and store various types of environmental data required for implementing an effective Navy Environmental Protection Program. NEPSS interfaces with all Navy organizations and actively supports activity commanding officers, systems commands, area commandants, and major claimants by providing environmental data in support of their environmental responsibilities and goals. The NEPSS is integrated into the existing Navy organizations and programs to take advantage of all available expertise and facilities. The Navy Environmental Support Office (NESO) at the Naval Construction Battalion Center, Port Hueneme, California, is the executive agent and overall program coordinating office. It also maintains an environmental data center and has specialty teams for short-term measurements and special investigations of pollution problems. In short, the NEPSS is the Navy's clearing house of environmental data, information and technical expertise. Refer to Figure 12-1.

2. EFD. The six NAVFAC Engineering Field Divisions (EFDs) which have within their organization Regional Environmental Support Offices (RESOs) support Navy and Marine Corps shore activities. These EFD/RESOs

programs for NEPSS at shore activities. The EFD also provides liaison and coordination and serves as a focal point with the many environmental regulatory and enforcement agencies. Refer to Figure 12-2.

3. SESO/AESO/OESO. Special technical groups for Navy ships, aircraft and weapons sytems provide the specialized expertise required of NEPSS in these areas. These groups include a Ship Environmental Support Office (SESO), an Ordnance Environmental Support Office (OESO) in the Naval Sea Systems Command, and an Aircraft Environmental Support Office (AESO) in the Naval Air Systems Command.

4. Services. The services of NEPSS are acquired through the activities geographical EFD. The NEPSS, through the EFD, can provide services in the following areas to assist the activity:

a. Identify and quantify sources of pollution so that appropriate corrective actions can be programmed and funded.

b. Determine if discharges from activity facilities are in compliance with regulations/standards.

c. Assist in preparation of information for EPA permits and state implementation plans and follow-up operating reports as required.

d. Analyze environmental protection data and trends, evaluate new methods of instrumentation, sampling, techniques, and data handling.

e. Assist in data analysis in support of corrective measures, procedures, or projects.

f. Collect ambient data, as required, to meet specific local/state requirements.

g. Provide reliable and accessible information to all Navy and Marine Corps commands.

h. Serve as a source of technical data and criteria.

E. Other Players. There are many other commands also involved in the Navy's Environmental Protection Program such as the: Area Coordinators with responsibility for coordination and implementation of the National Oil and Hazardous Substances Pollution Contingency Plan and promoting environmental protection and enhancement efforts being conducted under the primary responsibility of other commands; The Oceanographer of the Navy has responsibility in the marine environment; the Naval Weather Service Command provides meteorological/oceanographical forecasts to support pollution control measures; and Bureau of Medicine and Surgery provides technical coordination on human health aspects of pollution, including existing and new facilities.

PART 2 — ENVIRONMENTAL FUNDING

12.2.1 Pollution Control Reports (PCR)

has promulgated direction which ultimately manifests itself in what is known as a Pollution Control OMB Report (PCR) which identifies deficiencies of a particular agency — in our case, the Navy — with regard to compliance with environmental laws and regulations promulgated by federal, state and local agencies. The PCR identifies deficiencies and the cost of the solution to rectify the deficiency, and it programs a year of accomplishment for solution for each major category of pollution projects, e.g., air, noise, water, solid waste, pesticide and radiation. The PCR is the basis for the Navy's budget submittals through the chain of command to Congress to obtain funding and approval for pollution control projects. The reports contain two basic exhibits, Exhibit 1, which includes pertinent details for each individual project and Exhibit 2, which is a summary and status report of the Navy's plans.

B. Exhibits. Figure 12-3 diagrams the involvement of the various players, including the activity, in seeking funds to correct pollution problems. Note that a deficiency most commonly is identified at the activity level or at the NAVFAC engineering field division level in coordination with the activity; however, it may also be programmed at the major claimant level. As a specific example, let us take the case of a Navy activity which provides only primary treatment to its sewage effluent. If the state law required secondary treatment, a deficiency exists. This deficiency is identified on a document known as a Proposed Project port (containing Exhibit 1 and Exhibit 2 information). The Exhibit 1s for all activities within the geographical cognizance of an engineering field division are assembled by the EFD and forwarded to the Naval Facilities Engineering Command in Washington where they are reviewed, collated and summarized into the PCR. The reports contain projects planned to insure (1) full compliance with applicable standards and (2) budgeting for necessary corrective and preventive measures. These reports, which now contain the total Navy deficiencies, are forwarded through the chain of command to OMB. EPA, acting as a consultant to the Office of Management and Budget, also reviews each project for validity.

The Pollution Control Report contains a summary of all appropriations such as Military Construction, O&MN and OPN funds required for pollution abatement as identified at a particular point in time. It should be pointed out that, by definition, OMB has stated that funds can not be requested for recurring costs such as those associated with normal maintenance functions, personnel salaries, etc. In other words, an activity is justified in requesting pollution abatement funding to bring the sewage treatment facility up to present standards as established by the federal, state or local governing agencies, but the cost of the day-to-day operation and maintenance of the plant can not be paid for with OMB pollution abatement funding.

C. Importance of OMB Report. As previously stated, the Pollution Control Report forms the basis of the budget submission to Congress. With favorable congressional action, funds are channeled down through the chain of command via existing procedures to the activity for correction of the deficiency. Status of the correction is updated in the Pollution Control Report. By executive decree, funds appropriated for pollution abatement cannot be used for any other purpose.

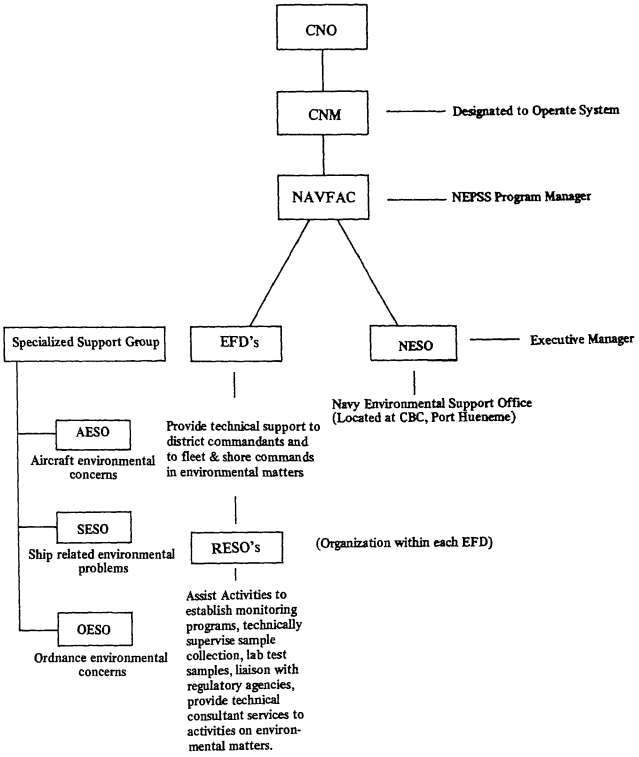

FIGURE 12-2

ORGANIZATION OF

PROBLEM.

IT IS THROUGH NAVFAC REGIONAL SUPPORT OFFICES (WITHIN ENGINEERING FIELD DIVISIONS) THAT NEPSS SERVES THE NAVY AND MARINE CORPS SHORE ACTIVITIES.

NORDIV	A/V 443-4972
CHESDIV	A/V 288-3761
LANTDIV	A/V 690-7313
SOUDIV	A/V 794-5510
PACDIV	(808) 471-3948
WESTDIV	
San Bruno	A/V 859-2603
San Diego	A/V 933-8853
Seattle	A/V 941-3285

FIGURE 12-3

by the Navy for accomplishment. The PCR remains the best vehicle for justifying the needs for funds. Inasmuch as the Navy must use extremely scarce resources, the accomplishment of this program depends on constant improvement in the accuracy of the report and on succinct and accurate presentation of requirements which is best accomplished by the activity. Sample Pollution Control Reports Exhibit 1 and 2 are contained in Figures 12-4 and 12-5.

12.2.2 Budgeting.

A. The approved PCR constitutes the authority for budget requests in the respective appropriations for the next fiscal year (i.e., MILCON, O&MN, OPN, etc.).

B. The activity may utilize the PCR as the basis for justifying and obtaining funding from the various appropriations to deal with the activities environmental pollution projects.

For example, the MILCON appropriation would normally provide for real property acquisitions, such as sewage and industrial waste systems, vapor recovery systems, etc. However, it is essential that pollution abatement projects not only be identified in the PCR, but also be processed in accordance with the Shore Installation Facility Planning and Programming System discussed in Chapter 4 of this manual. The reader is also referred to Chapter 7 in the OPNAVINST 11010.10C, *Facilities Project Manual* for a discussion of funding of projets utilizing O&MN appropriations which are also supported by a PCR report.

environmental aspects of a proposed action in order tha adverse environmental effects may be avoided or minimize and environmental quality previously lost may be restored This consideration of the environment is documented i reports called environmental impact assessments/statements This, of course, infers that at the earliest practical stage i the planning process of an action or project the environmen be considered. In pursuit of the long-term goals of th NEPA, the environmental factors must be considered in th decision-making process just as we now consider othe factors such as economy, cost-effectiveness, technology etc., of a proposed projet or action.

Requiring consideration of all applicable environmenta factors during the planning process for a propose project/action will accomplish several benefits:

1. Identification of adverse impacts of propose actions so they can be eliminated, minimized or, i unavoidable, considered in the decision-making process o the alternative actions available.

2. Assurance that proposed action incorporat protection and enhancement of environmental quality.

3. Provides to the decision maker information o the impact the proposed action will have upon th environment. In short, the impact of an action on th environment becomes another parameter to assist th decision maker choose among the alternatives available.

12.3.2 Navy Implementation. OPNAVINST 6240.3 *Environmental Protection Manual, in implementing NEPA* requires that at the inception of an action such as MCON O&MN, urgent minor construction requests, land acquisition etc., an assessment of the probable ecological an environmental impacts of the action be made. For instance an environmental impact assessment would be made durin the development of a facility study for a MCON project a discussed in Chapter 4 of this manual. In the event th environmental assessment indicates the proposed action wi have a significant effect on the environment and/or b environmentally controversial, a candidate environmenta impact statement is required. Those actions also determine by the CNO CEIS Review Panel to have a significant impac and/or to be environmentally controversial also require th development of Draft Environmental Impact Statemen (DEIS), and eventually a Final Environmental Impac Statement (FEIS), which are made available to th President's Council on Environmental Quality (CEQ), and t other appropriate federal, state, and local agencies.

12.3.3 NEPA Definitions. To *assist* in understanding th various types of environmental reports, the followin definitions are offered.

A. Action could include, but is not limited to, project and programs; establishment or modification of policies instructions and regulations, and recommendations or report relating to legislation.

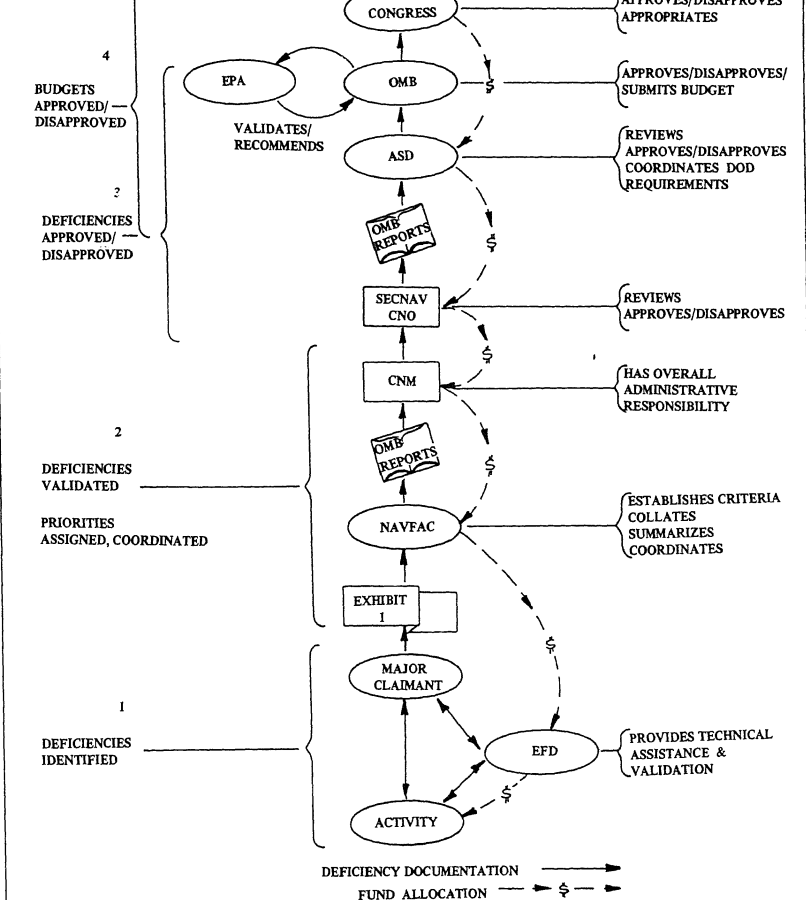

FIGURE 12-4
DATA AND FUND FLOW - OMB REPORTS

COMPUTER DATE 75FEB20

ENVIRONMENTAL POLLUTION CONTROL
PROPOSED PROJECT REPORT
EXHIBIT 1 INFORMATION

(001) UIC N60258
(002) PROJECT NO W015L

MEDIA: WATER

(003) DATA PREPARED 01MAY74

(004) DATE REVISED 01NOV74

AGENCY: DEPARTMENT OF THE NAVY
NAVAL FACILITIES ENGINEERING COMMAND
WESTERN DIVISION

GSA INVENTORY CONTROL NO: 23190

1. FACILITY: SHIPYARD
ADDRESS : LONG BEACH CALIFORNIA CTY: LOS ANGELES

AGENCY CONTACT: ROLLAND HAMILTON MGR, ENVIRONMENTAL BR (415) 871-2603

NARRATIVE
(LIMIT OF 65 POSITIONS PER LINE INCLUDING SPACES AND PUNCTUATION)

2. SPECIFIC TYPE OF POLLUTION:

(020)0010 DRAINAGE (INCIDENTAL) WASTEWATER FLOW FROM DRYDOCKS CAN CONTAIN
0020 SUSPENDED SOLIDS, SOLVENTS, PAINT, HYDROCARBONS, OIL,
0030 LUBRICANTS, HEAVY METALS, BACTERIA, FLOATING AND SETTLEABLE
0040 SOLIDS AND OTHER POLLUTANTS.

3. AMOUNT OF POLLUTION:

(030)0010 GENERATED: 2,200,000 GPD

4. POLLUTION SOURCE AND DISCHARGE, EMISSION OR DEPOSIT POINT:

(040)0010 THE PRIMARY SOURCES OF POLLUTANTS ARE SHIP REPAIR OPERATIONS
0020 OCCURRING IN DRYDOCKS INCLUDING ABRASIVE BLASTING, PAINTING AND
0030 CLEANING. THE PRIMARY VEHICLE FOR CONVEYING THE POLLUTANTS IS
0040 PLANNED AND UNCONTROLLED HYDROSTATIC RELIEF AND DRYDOCKED SHIPS
0050 COOLING WATER. CONTAMINATED WATER IS COLLECTED IN SUMPS IN
0060 GRAVING DOCKS AND PUMPED TO SAN PEDRO BAY. NO APPROPRIATELY
0070 SIZED SEWER EXISTS TO HANDLE DOCKED SHIPS CHT PUMP OUT.

5. EXISTING TREATMENT AND OTHER CONTROL MEASURES:

(050)0010 SANITARY WASTEWATERS ARE DIRECTED TO THE SANITARY SEWER WHEN
0020 OPERABLE SOME SOLIDS CATCH BASINS ARE PROVIDED IN
0030 GRAVING DOCKS. CLEAN UP OF SPENT ABRASIVE IS PRACTICED.
0040 TO THE MAXIMUM EXTENT POSSIBLE AT PRESENT,

COPY 2 TO: ENVIRONMENTAL PROTECTION DATA BASE PROJECT NO W015L

FIGURE 12-5

COMPUTER DATE 75FEB20

ENVIRONMENTAL POLLUTION CONTROL
PROPOSED PROJECT REPORT
EXHIBIT 1 INFORMATION

(001) UIC N60258
(002) PROJECT NO W015L

MEDIA: WATER

(003) DATA PREPARED 01MAY74

(004) DATE REVISED 01NOV74

5. EXISTING TREATMENT AND OTHER CONTROL MEASURES:

(050)0050 UNCONTAMINATED FLOWS ARE DIRECTED DIRECTLY TO CATCH BASINS AND
0060 TOXIC CHEMICALS ARE CONTAINED AT THEIR SOURCE.

6. EFFECTIVENESS OF EXISTING TREATMENT AND CONTROL:

(060)0010 EXISTING FACILITIES HAVE NO EFFECT ON DISSOLVED METALS, CAN
0020 NOT HANDLE LIQUID INDUSTRIAL WASTE OR CHT DUMPOUT, ARE NOT
0030 EFFICIENT IN EFFECTING CLEANUP OR PREVENTING WASTE LIQUID AND
0040 SOLID DISCHARGES AT THEIR SOURCES

7. REMEDIAL MEASURES PROPOSED AND ESTIMATED EFFECT ON CORRECTING PROBLEM:

(070)0010 THE PROBLEM WILL BE CORRECTED BY PROVIDING MODIFICATIONS
0020 TO EXISTING DRYDOCKS TO BY-PASS UNCONTAMINATED FLOW AND TO DIRECT
0030 REMAINING CONTAMINAED FLOW AND/OR THE POLLUTANTS CAUSING
0040 CONTAMINATION TO APPROPRIATE COLLECTION,TREATMENT
0050 AND DISPOSAL SYSTEMS

8. APPLICABLE STANDARDS:

(080)0010 P.L.92-500, SECTION 313, FEDERAL FACILITIES COMPLIANCE
0020 SECTION 402, NPDES PERMIT NO CA0003786, FOR EFFLUENT
0030 LIMITATIONS AND COMPLIANCE SCHEDULE SECTION 303, STATE
0040 OF CALIFORNIA "WATER QUALITY CONTROL PLAN (FOR)
0050 OCEAN WATERS OF CALIFORNIA", FOR RECEIVING WATER STANDARDS

9. PROJECT SCHEDULE:

(090)		AGENCY (MMM/YY)		REGULATION (MMM/YY)	
	DESIGN (COMPLETION)	(901)	JUL76	(906)	____
	CONSTR (START)	(902)	NOV76	(907)	____
	CONSTR (COMPLETION)	(903)	DEC77	(908)	____
	OPERATION (START)	(904)	JAN78	(909)	____

COPY 2 TO: ENVIRONMENTAL PROTECTION DATA BASE

PROJECT NO W015L

COMPUTER DATE 75FE82

ENVIRONMENTAL POLLUTION CONTROL
PROPOSED PROJECT REPORT
EXHIBIT 1 INFORMATION

(001) UIC N6025
(002) PROJECT NO W015

MEDIA: WATER

(003) DATA PREPARED 01MAY7

(004) DATE REVISED 01NOV7

9. PROJECT SCHEDULE:

(090)		AGENCY (MMM/YY)	REGULATION (MMM/YY)
FINAL COMPLIANCE	(905) MAR78	(910) JUL77	

10. OTHER RELEVANT INFORMATION:

(100)0010 THE MAGNITUDE OF ANTICIPATED CONSTRUCTION AND REQUIREMENT FOR NOT
0020 INTERFERRING WITH CRITICAL SHIP REPAIR SCHEDULES MAKES IT
0030 IMPERATIVE THAT THIS PROJECT BE INCLUDED IN THE FY 76 MILCON
0040 PROGRAM TO ALLOW ADEQUATE CONSTRUCTION TIME TO ACHIEVE THE
0050 STATUTORY COMPLIANCE DEADLINE. SINCE THE PROJECT WAS
0060 DEFERRED TO FY77. IT IS RECOMMENDED THAT
0070 CONSTRUCTION BE SCHEDULED TO PROVIDE
0080 COMPLIANCE ORIENTED FACILITIES FIRST.
0090 THIS PROJECT (P-174) INCLUDES PREVIOUSLY
0100 DESIGNATED PROJECT P-181, ORYDOCK SEWERS.

(DE)(LINE) (USE GUIDE BELOW FOR CHANGING DATA-IF NECESSARY USE REVERSE SIDE)

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COPY 2 TO: ENVIRONMENTAL PROTECTION DATA BASE PROJECT NO W015

FIGURE 12-5

COMPUTER DATE 75FEB20

ENVIRONMENTAL POLLUTION CONTROL
PROPOSED PROJECT REPORT
EXHIBIT 2 INFORMATION

(001) UIC N60258
(002) PROJECT NO W015L

MEDIA: WATER

(003) DATA PREPARED 01MAY74

(004) DATE REVISED 01NOV74

1. FACILITY: SHIPYARD
ADDRESS : LONG BEACH CALIFORNIA CTY: LOS ANGELES

AGENCY CONTACT: ROLLAND HAMILTON MGR, ENVIRONMENTAL BR (415) 871-2603

(005) VARIOUS LOCATIONS: NO

(014) SPECIAL AREA CODE:

(006) PROJECT NAME: DRYDOCK DRAINAGE COLLECTION AND TREATMENT
(LIMIT OF 50 POSITIONS)

(007) REMARKS:

(008) REVISION NOTE: STATUS & DOLLAR CHANGE
(LIMIT OF 47 POSITIONS)

(009) STATUS: PRELIMINARY PLANNING

(010) CONSTRUCTION COMPLETE: DEC77

(011) FUNDING COMMAND: NAVFAC

(012) PURPOSE: PROJECT

20. COST OF POLLUTION CONTROL MEASURES IN THOUSANDS OF DOLLARS:
(FUNDED FIGURES APPEAR IN PARENTHESES)

(200)

	(201) APPN	(202) FY	(203) DESIGN	(204) CONSTR	(205) FUNDED	(206) INTERNAL	(207) PROJECT	(208) NUMBERS
0010	MCON	77	150	4,020	NO	P-174		
			TOTAL COSTS	4,170				

(013) PRIORITY: 9999

30. PRIORITY JUSTIFICATION:

(300)0010 IF THE EFFLUENT LIMIATIONS CONTAINED IN THE SHIPYARD NPDES PERMIT
0020 EFFECTIVE 15 MAR 74, ARE NOT MET BY 1 JULY 77, THE SHIPYARD WILL
0030 BE LIABLE TO CIVIL ACTION, IN FEDERAL COURT, WHICH CAN BE FILED
0040 BY EPA, THE STATE OR ANY CONCERNED CITIZEN. IF LITIGATION IS
0050 ADJUDICATED AGAINST THE SHIPYARD, FINES OF UP TO $25,000 PER DAY
0060 OF VIOLATION AND IMPRISONMENT OF UP TO 1 YEAR CAN BE LEVIED
0070 PURSUANT TO P.L. 92-500.

COPY 2 TO: ENVIRONMENTAL PROTECTION DATA BASE PROJECT NO W015L

FIGURE 12-6
POLLUTION CONTROL REPORT - EXHIBIT 2

exception to this is the preparation of a MCON facility study which requires forwarding the EIA with the facility study. If the EIA indicates the impact is not environmentally significant or controversial, no further action is required and compliance with the intent of NEPA has been obtained.

C. **CEIS.** Those assessments of any action considered to have an environmental impact or to be environmentally controversial. (OPNAVINST 6240.3D defines several actions which **require** development of a CEIS.) Such statements are forwarded via the Chain of Command to CNO (OP-45) for review.

D. **CEIS Review Panel.** A select group of experts established and convened by CNO (OP-45) to critique the content of submitted CEISs and recommend subsequent disposition/processing. OPNAVINST 6240.3D specifies several types of actions which require development of a CEIS regardless of whether the impact is significant or controversial.

E. **DEIS.** Those CEISs which have been reviewed by the CEIS review panel and forwarded to CEQ, to other appropriate federal, state, and local agencies for review and comment prior to the completion of a FEIS.

F. **FEIS.** A completed statement which incorporates all pertinent comments and information made as a result of review of the DEIS and which is filed with CEQ. The nomenclature CEIS, DEIS, and FEIS indicates where the statement is in the review process.

12.3.4 Format.

A. **Structure of EIA/EIS.** OPNAVINST 6240.3D requires all EIA and CEISs to be prepared in a standardized format. Refer to the subject instruction for a detailed understanding of the below listed items which each EIA/EIS includes.

1. Introduction

   a. Project Description
   b. Existing Environment of Proposed Site

2. Relationship of Proposed Action To Land Use Plans, Policies and Controls for the Affected Area.

3. Probable Impact of the Proposed Action on the Environment.

   a. Assessment of the positive and negative effects of proposed action.

   b. Secondary or indirect, as well as primary or direct, impact.

4. Alternatives.

5. Any probable Adverse Environmental Effects which cannot be avoided should proposal be implemented.

8. Considerations that offset adver environmental effects.

B. **Content.** An assessment and or statement is a caref objective detailing of the effects on the human environm of a proposed action and its alternative. Another way viewing the assessment/statement is to consider it *disclosure* of the environmental impacts of the action. T assessment/statement should be clearly and simply writt containing all pertinent information.

12.3.5 Assistance Available in Preparing EIA/EIS

A. **Organization.** To assist in the preparation assessments/statements OPNAVINST 6240.3D provid guidelines or environmental items to consider. Additional the EFDs have capabilities to assist in preparation statements. The NEPSS can also provide environmen information. To obtain the necessary information inform consultation with other governmental agencies a environmental organizations may be necessary.

B. **Funding EIA/EIS Development.** The prima administrative and funding effort in meeting the requiremer of NEPA fall under the cognizance of the major claimants.

PART 4 — ENVIRONMENTAL LEGISLATION

12.4.1 Introduction. The following discussion touches up several of the more important environmental laws which pl a significant role in the Navy's Environmental Protecti Program. OPNAVINST 6240.3D *Environmental Protecti Manual* provides in-depth coverage of the environmen legislation and the Navy's program to comply with t legislation. The reader is referred to the *Environmen Protection Manual* or the EFD serving the concerned activi for a greater understanding of the Navy's program or develop activity environmental compliance and protecti programs.

2.4.2 Water Pollution Abatement

A. **Background.** The Federal Water Pollution Contr Act (FWPCA) is one of the most significant pieces environmental water legislation and represents a clear goal the United States Congress to restore and maintain t chemical, physical and biological integrity of this countri waters. The amendments to the Water Pollution Control A and resultant state and local regulations have led to the Na constructing such projects as industrial waste treatme plants, connections to municipal systems, pier sewers receive ships' wastes and improvements to existing was treatment plants, to mention but a few at Naval sho facilities.

B. **NPDES.** The Federal Water Pollution Control A Amendments of 1972 established a National Polluta Discharge Elimination System (NPDES) based on a feder

permit system and administered by EPA. All discharges from point sources ashore into navigable waters are unlawful unless the discharges possess a valid permit or is excluded by law or regulation. Permits for activities are negotiated between the EFD in conjunction with NEPSS and the EPA regional district administrator.

The core of the permit is a specific schedule of compliance, which prescribes an enforceable sequence of actions or operations leading to compliance with effluent standards of limitations. The compliance schedule contains dates to be used as checkpoints for measuring progress toward compliance with the effluent limitations. In addition to a compliance schedule, each NPDES permit contains a list of specific water quality parameters which are to be monitored and reported, the frequency of monitoring and reporting, and the effluent limitations for each parameter.

12.4.3 Air Pollution Abatement

A. Background. The air pollution abatement program within the Navy involves the reduction of non-complying visible and potentially harmful emissions into the atmosphere. Examples of projects to accomplish this goal are: conversion of boilers to cleaner fuels; stack monitors to control emissions from boilers and incinerators; elimination of open burning; and those projects related to control of industrial gaseous and particulate emissions.

B. Program Definition. Under the Clean Air Act, each state has the primary responsibility for assuring air quality. Accordingly, each state has developed plans in compliance with EPA general guidelines which contain emission standards and regulations. Navy activities are required to comply with the state plans. In as much as these plans are highly technical and specialized, each activity should work closely with their EFD in formulating compliance with the state plans.

Air pollution sources are classified as either stationary or mobile. State implementation plans for control of stationary sources employ emission limitations which either apply to sources (i.e., boilers, incinerators, fuel storage tanks, etc.) or to specific parameters regardless of contributing source (i.e., particulates, sulfur oxides, opacity, photoactive solvents, hydrocarbons, etc.). Mobile source controls of emission limits on automobiles and aircraft, transportation controls including traffic and parking limitations and fuel composition, and fueling limitations. A Navy Air Pollution Source Inventory System (NAPSIS) has been initiated by NEPSS to identify and locate all air pollution sources subject to federal, state and local standards.

12.4.4 Oil and Hazardous Substances

A. Oil. The Navy's largest, single, pollution abatement problem is oil. The serious spill problem is not the massive oil spills but rather the pernicious small spills in harbors caused by leaks in systems, overflows through vent pipes, parting of fuel hose lines and human error. The intentional discharge of oil and oil wastewater are prohibited by both the FWPCA and Navy policy.

1. Preventive measures such as altering ship systems to reduce the likelyhood of an accidental spill.

2. Operational Procedures. Activities are reevaluating existing operational procedures to reduce the oil pollution potential. Increased educations and improved training in relation to oil handling problems and improved preventive maintenance techniques is underway.

3. Containment of Spill. The Navy is procuring oil boom for containment of oil close to source of spill as well as a surface active liquid film (piston film) which retards the spreading of oil.

4. Removal. The National Oil and Hazardous Substances Pollution Contingency Plan requires that those responsible for pollution are responsible for cost and action to clean up. Accordingly, the Navy has developed a rapid response capability to clean up oil emanating from Naval vessels or shore facilities. This response capability includes prepositioning of equipment, craft, and materials at various activities with a trained organization of people to clean up oil spills within our harbors. The PWD may be involved to varying degrees in maintaining the oil spill recovery capability perhaps by providing for the clean up teams/organization, maintaining the clean-up equipment, etc. The Navy Supervisor of Salvage is responsible for dealing with deep ocean spills.

B. SPCC. EPA guidelines require Naval activities that have a reasonable potential for discharging oil or other hazardous substances into navigable waters to prepare Spill Prevention Control and Countermeasure (SPCC) plans. These plans identify all existing facilities within the confines of the Naval activities that, because of location could reasonably be expected to discharge oil or other hazardous substances into inland or coastal water or onto adjoining shorelines in harmful quantities, i.e., causes a film, sheen, emulsion, or discoloration on surface of water. The SPCC plans also define requirements for resources to prevent or control spills from reaching navigable waters.

C. Hazardous or Toxic Materials. FWPCA prohibits the discharge of substances in amounts which may be toxic or hazardous. NEPSS is developing a Hazardous Waste Disposal Guide to provide assistance in handling and disposing of an ever increasing list of acute hazardous materials and wastes generated afloat and ashore. The guide is scheduled for publication in late 1975.

12.4.5 Noise Abatement. The Noise Control Act (NCA) of 1972 directs federal agencies to execute programs to abate noise that jeopardizes health and welfare. Additionally, the Navy activity is required to comply with federal, state, interstate and local requirements concerning control and abatement of environmental noise. The most pressing noise problem confronting the Navy is that associated with aircraft flight operations and post-maintenance ground run-up operations at Naval Air Rework Facilities and Naval Air Stations. This specific problem is being dealt with by the Air Installation Compatible Use Zones program which is further discussed in Chapter 4 of this manual.

12.4.6 Solid Waste Disposal and Resource Recovery

operation. Significant assistance in this area is available from the EFDs and NEPSS.

B. Recycling. Approximately 65 percent of the solid waste generated at Naval activities is composed of paper, glass and metal, a large percent of which is considered recyclable. This indicates that activities could take action to reduce the volume of these wastes being disposed of in our diminishing landfill areas by reclaiming material through recycling efforts.

Waste recovery by recycling will conserve our diminishing natural resources and simultaneously benefit the enhancement of environmental quality. NAVCOMPT Instruction 7020.18 *Trash and Waste Material Recycling* discuss funding of an activities recycling program.

12.4.7 Pest Management. The Federal Insecticide, Fungicide and Rodenticide Act (FIFRA) as amended by the Federal Environmental Pesticide Control Act (FEPCA) regulates the use of pesticides to prevent unreasonable adverse effects on the environment. The benefits of pesticides are many, for they are used to protect human health and Navy property,

Supply Catalog can be utilized for pest control operati
Additionally, all activity personnel responsible for applica
and direct management of the activities pesticide program
required to be trained and certified competent. NAVFAC
and their EFDs are responsible for the technical managem
of this program ashore. NAVFACINST 6250.3D *F*
Management Operations in the Naval Shore Establishme
performance and reporting of discusses the report
requirement for activities past management operations.

12.4.8 Natural Resources. In consonance with feder
programs for the management and conservation of natu
resources, it is the intent of the Navy to restore, improv
preserve, and properly use natural resources at sho
activities. The material resource programs include soil ar
water conservation, forest resource management, fish ar
wildlife management, air and water pollution abatemen
outdoor recreation, landscaping and natural beauty. C
course, the extent of an activities natural resource prograr
will be dependent upon the renewable or existing resources a
the activity. Implementation of an activity natural resourc
program is discussed more fully in Chapter 3 of this manua
and OPNAVINST 6240.3D *Environmental Protectio*
Manual.

CHAPTER 13
PUBLIC WORKS BUDGETING AND FINANCE

This chapter presents a rational approach to Public Works Budgeting. Admittedly, it is a presentation of what ought to take place, rather than what may be happening at some activities. The concepts outlined are based on the premise that Public Works Officers (and their personnel) are stewards of the Public Trust, must assure that all resources under their management are most effectively used, and must be completely honest and above board with superiors in the chain of command concerning requirements, resources uses, and the impact of less than optimum funding. The chapter addresses budgeting from the point of view of the Public Works Officer stationed at a facility that is funded under the appropriation "Operations and Maintenance, Navy (O&MN)". The Navy Industrial Fund (NIF) is discussed briefly on page 13 through 13.

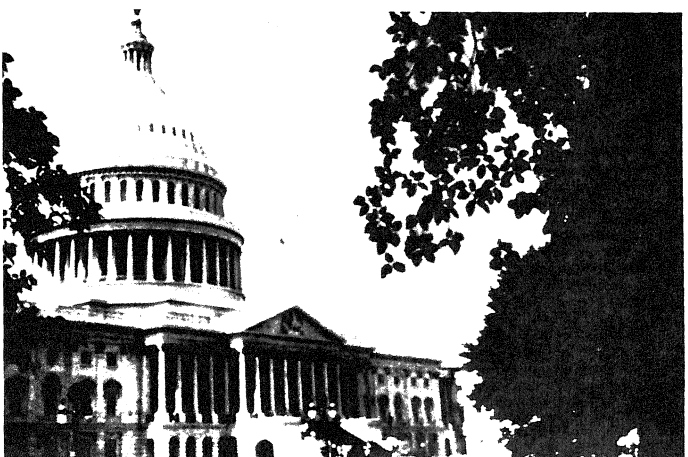

FIGURE 13-1
THE CAPITOL

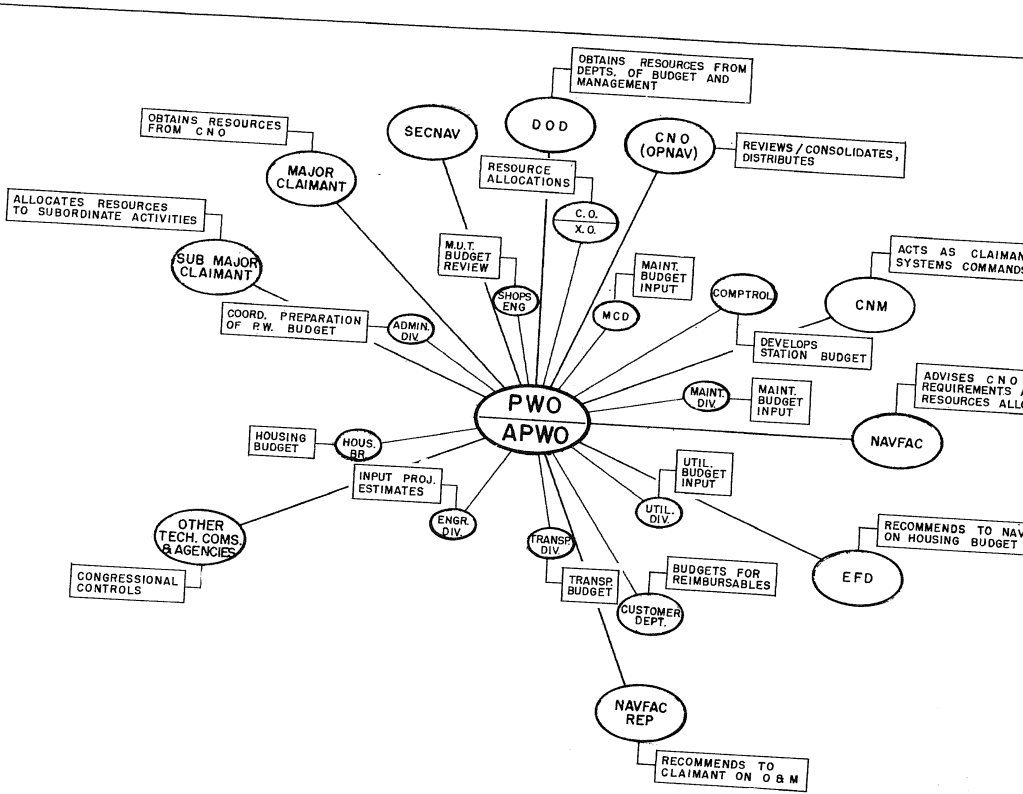

FIGURE 13-2
THE PLAYERS IN BUDGETING

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2. *NAVCOMPT MANUAL*, NAVSO P-1000, Department of the Navy, Office of the Comptroller
3. *Financial Management of Resources*, NAVSO P-3006, Department of the Navy, Office of the Comptroller
4. *Resource Managers Guide, Field Activities*, NAVSO P-3047, Department of the Navy, Office of the Comptroller
5. *The Navy Industrial Fund Financial Management Guide*, NAVSO P-3503, Department of the Navy, Office of the Comptroller

Accrual Accounting. Basically, the accrual accounting concept requires that the accountant charge an activity for resources as they are consumed. Under accrual accounting, we charge (expense) an activity during the month the material actually is delivered (dropped from inventory) or the service is used. By the use of accrual accounting, the manager will compare monthly work with realistic monthly costs. (Accrual accounting does not eliminate the accounting for obligations since Congress still requires obligational controls.)

Activity. A unit of the Naval Establishment, of distinct identity, established ashore under an officer in command or in charge, which receives an Operating Budget (OB) or an Operating Target (OPTAR) or planning estimate from a Major Claimant or Subclaimant.

Activity - Active Status. Activities in operating condition requiring facilties and personnel adequate to support planned operations and to maintain equipment in an operating condition. Includes the activities listed as active in the Catalog of Naval Shore Activities, OPNAV P09B3-105.

Activity - Inactive Status. Activities in a non-operative condition requiring physical protection of the property, personnel necessary for fire protection and periodic inspection by local representatives of management bureaus to insure that defects which would lead to accelerated deterioration are promptly corrected in accordance with accepted practices for econmical maintenance. Includes activities listed in Catalog of Naval Shore Activities, OPNAV P09B3-105, Section 6 - Inactive Status, those activities contained in official DOD Base Closure lists for current year, and those officially declared by DOD as anticipated base closures for budget year.

Activity - CONUS. Activities located within the 48 contiguous states and District of Columbia (excludes Alaska and Hawaii).

Activity - Overseas. Activities located outside the 48 contiguous states and the District of Columbia (includes Alaska and Hawaii).

Changes in Unfilled Orders. The difference between unfilled orders for the current period versus the prior period. The difference can be plus, minus, or zero.

Cost Center. The individual organizational units of a responsibility center, i.e., departments or staff offices.

Expense Element. Expense Elements are codes which identify the nature of the resource consumed in an activity, i.e., an input. They follow closely (and replace) the Object Classification.

Element of Expense. Same as Expense Element.

Facilities Management. The direction, control, appraisal, and equitable distribution according to relative need of resources, required for the Facilities Management Functions.

Facilities Management Functions. The maintenance, alteration, repair, overhaul, and disposal of land and improvements (Class 1 and 2 property); the procurement and production of utilities and the operation of utilities distribution systems; the operation and maintenance of construction weight-handling, and automotive and railway transportation equipment; and the provision of public works engineering and related public works services.

Facility. A separate, individual building, structure, or other item of real property improvement which is subject to separate reporting under the DOD real property inventory.

Family Housing Functions. Family housing functions include requirements surveys; planning for operation and maintenance; programming of maintenance, repairs, and alterations; translation of plans and programs into budgetary requirements; application of resources, including financial resources; control of issue and repair of household furniture and equipment; utilization of housing; routine inspections; rentals and leasing; coordination with the utilities conservation officer; surveillance of occupancy maintenance; preparation and review of reports on inventory, occupancy, and costs; and review of performance compared to standards.

Functional Category/Subfunctional Category. The Department of Defense has prescribed the collection of expenses by functional category. Functional categories are designed to collect expense information for one or more of the following reasons:

1. The cost of the function is required to meet restrictions made by Congress or to meet the needs of outside parties;

2. Information on the cost of a function is useful in deciding on the authorization to be provided to an operating activity;

3. The cost of the function provides a control total tied to an underlying cost accounting system needed for management of the function; or

4. The cost of the function is useful in making comparisons and special analyses of cost.

The functional categories developed in response to OSD requirements do not fulfill all of the Navy and Marine Corps

requirements for management information. Therefore, additional classifications have been developed to supplement the functional categories. These additional accounts are called subfunctional categories. The subfunctional categories are coded with alpha-numeric characters which indicate both the function and subfunction thereunder. The functional and subfunctional categories are listed and defined in NAVCOMPT Manual, Volume 2, Chapter 4, Part D.

Functional Commander. Designation given various intermediate commands such as Systems Commands, Type Commands or Air Training Commands.

Job Order Number. Coded numbers used to describe type of expense for each cost account code, such as military costs, civilian costs, material costs, etc.

Major Claimant. A bureau/office/command/Headquarters which is designated as the administering office under the operation and maintenance (O&MN) appropriations in NAVCOMPT Manual, Volume 2, Chapter 2, which receives major claimant operating budgets directly from the Chief of Naval Operations. As used in this instruction the major claimant designation also applies to the NavMat Systems Commands.

Maintenance Floor. A minimum amount established by the Congress in the annual appropriation act for maintenance, repair and alterations (Functional Category Codes M & R). Funds allocated for this purpose may not be used for any other puspose.

Obligational Authority. (1) An authorization by Act of Congress to procure goods and services within a specified amount either by appropriation or otherwise, such as by unfinanced contract authorization (q.v.). (2) the administrative extension of such authority, as by apportionment or funding (q.v.). (3) The amount of authority so granted.

Obligational Authority, New (NOA). The sum of new Congressional authorizations to incur obligations. Includes appropriations other than those to liquidate contract authorizations, contract authorizations, and reappropriations of current funds which would otherwise expire for obligation purposes. As applied by any separate appropriation title includes transfers from (less transfers to) other appropriation or authorization accounts in the same year in which the appropriation or authorization is made.

Obligations Incurred (or "Obligations"). (1) Amounts of orders placed, contracts awarded, services received, and similar transactions during a given period requiring future payment of money. Such amounts include adjustments for differences between obligations previously recorded and accrued expenditures or actual payments. Defined in more detail in DOD Directive 7220.6. (2) Obligations incurred under an appropriated fund (or subdivision) are the sum of the applicable "accrued expenditures" (q.v.) and the increase (or less decrease) in "contracts and orders outstanding" (q.v.).

Operating Budget. The annual budget of an activity stated in terms of functional/subfunctional categories and cost in terms of total number of work units by appropriate level of cost accounts.

Project. A simple planned undertaking of construction, repair, maintenance and/or equipment installation either separately or in combination, necessary to satisfy a finite requirement. Not to be confused with the term "project" as used in congressional military construction legislation.

Resources. Military and civilian personnel, material on hand and or order, and the authority to procure or use material, utilities, and services required for performance of the basic mission of the responsibility center and work performed for others.

Responsibility Center. A command which has been assigned responsibility for its operating funds. This normally would equate to an activity having Commanding Officers and Officer-in-Charge.

Sub-Cost Center. Organizational breakdown of a cost center, i.e., division, office, shop. (Sub-cost centers are identified and reported under PRIME at the Commanders' discretion.)

Subfunctional Category Code L7. Expenses specifically identified and measurable to rental of vehicles from commercial sources and other Government agencies; the maintenance and operation of activity-owned vehicular and other related equipment; the cost of chauffeurs/drivers, and trainmen whose time is not charged to other subfunctional categories; and the running cost of commercially rented vehicles. Expenses related to this subfunction are identified by the 6100 through 6900 series of cost accounts.

Subfunctional Category Code M1. Recurring maintenance. Includes expenses specifically identified and measurable to maintenance and repair which can be accomplished within the approval authority of the activity Commanding Officer as defined in the current series of OPNAVINST 11010.20. Expenses related to this subfunction are identified by the 7100 through 7900 series of Cost Accounts.

Subfunctional Category Code M2. Nonrecurring maintenance. Includes expenses specifically identified and measurable to maintenance and repair which requires approval at a level above the activity Commanding Officer as defined in the current series of OPNAVINST 11010.20. Expenses related to this subfunction are identified by the 7100 through 7700 series of cost accounts.

Subfunctional Category Code N1. Expenses for procurement or production and distribution of utilities. Includes purchased electrical energy; steam and hot water; water; and other utilities. Includes operation of electrical generating plants and distribution systems; heating plants and distribution systems, including fuels; water plants and systems; and sewage and waste systems; air-conditioning and refrigeration plants; and other utility systems, such as gas distribution systems and organic support. Expenses related to this subfunction are identified by the 8000 series of cost accounts.

Subfunctional Category Code P1. General engineering support. Includes those expenses specifically identified and

Commanding Officer as defined in the current series of OPNAVINST 11010.20. Expenses related to this subfunction are identified by Cost Account 7010.

Subfunctional Category Code R2. Expenses specifically identified and measurable to minor construction which by Cost Account 7010.

Unfilled Order. Documents meeting the criteria of an obligation, issued for an item of service that has not yet been received (expensed).

PART 1 - GENERAL INFORMATION

13.1.1 What is a Budget? The term "budget" has many different connotations to different people. When we use the term "Public Works Budget," we shall mean a statement, in financial terms, of the plan of operation for the department for a given time span. Prior to the time that funding is actually provided by our superiors for use during that time period, the budget is a proposed plan. Once funding is available, the adjusted budget becomes our financial road map for the period, a benchmark against which we measure progress as actual performance data becomes available. This plan must be expressed on budget documents in a common format and language for all naval activities. The term "budgeting," as we shall use it, then encompasses:

1. Predicting operational requirements of the department for a specified period in advance.
2. Consolidating these requirements into a proposed departmental operational plan for the period.
3. Translating the operational plan into financial terms on a budget document for submission to superiors for their approval (or partial approval) and for their issuance of funding documents.
4. Adjusting the financial (and operating) plans to agree with the funds granted.
5. Measuring progress against the plan by way of planned versus actual reports, and making adjustments as operational requirements dictate.

13.1.2 The Role of the Public Works Officer in Budgeting. The Public Works Officer (PWO) is the central figure in Public Works budgeting. As the senior management official of the department, his will be the crucial decisions which will shape the budget. At a small activity, he may have to do the majority of the actual budgeting work himself. At a large activity, he will have a team of skilled division directors to assist him in budgeting, but he must function as "Chairman of the Board." He must establish the objectives toward which the department should strive within the period, and approve the intermediate goals for their attainment. He must come to an understanding with the Commanding Officer on priorities, and state them clearly to the budgeting team. His is the responsibility to convince command of the requirements of the department to obtain a fair share of the always - too-small resource pot made available to the activity. His, also, is the hard choice on where to make cuts when the resources provided fall short of the requirements (as they inevitably do). His are the decisions on what adjustments to make during the fiscal period to keep "Plan" and "Performance" coincident. In short, the key figure in public works budgeting must be the PWO. In order to carry out these functions, he must have a good grasp of the principles of Navy Financial (or Resources) management.

13.1.3 Useful Background Information on Budgeting.

A. Types of Appropriations. In granting funds to the Executive Branch (and therein the DOD and Navy) Congress utilizes two separate legislative actions. First, Congress authorizes the program under an Act of Authorization. Then the money to support the authorization is appropriated from tax revenues by an Act of Appropriation. Both acts are required before congressional approval to spend the resources is established.

Authorization Acts are provided either as (i) Permanent - as an example, the Armed Services Procurement Act of 1947 which establishes the general rules and guides for the manner in which we make procurements; or (ii) Specific Authorization wherein Congress identifies the procurements or programs upon which we may embark. In the case of military construction, research, certain procurements, and weapon systems procurements, Congress passes enabling legislation setting forth the magnitude of these programs for which specific appropriations must be made. The Navy appropriations are of three types - Annual or One Year, Continuing or No-Year and Multiple Year.

One Year Appropriations are generally used for current administrative, maintenance and operational programs. Annual programs are available for obligation (procurement) for one fiscal year and for expenditure (payment) for two additional years. Appropriations for military pay and operation and maintenance are typical examples.

No Year or Continuing. Provide funds for long range construction projects and permit obligation and expense authority to remain available indefinitely. Authorization however, expires on a specific date established in the Legislation.

Multiple Year Appropriation. Appropriations for research, ship and aircraft and other procurements are funded from an appropriation type extending obligation authority approximately two years to a special cut-off date and expense authority two years beyond that. With passage of the FY 1979 Military Construction Appropriation funds for projects will be available for obligation for five years. Thus aligning military construction funding with other capital acquisitions.

B. Budgeting Time Spans. Congress grants most funds to the executive branch (thus the Navy) on the 1 October - 30 September fiscal year basis[1], formal budget document submissions up the chain of command are stated in terms of specific fiscal year time spans. The fiscal years are further divided into 3-month quarters. In addressing the formal budgeting process, a review of the specific years to be dealt with is in order:

1. The "past year" is right now, the year in which you are preparing the submission.
2. The "current year" is the one which is going to start the next October 1st.
3. The "budget year" is the year following the "current year".

For instance, if we are preparing a submission on 1 March 1979 the "past" year (the year in which we are presently operating, is FY 1979, the "current year" is FY 1980, and the "budget year" is FY 1981.

begins on 1 October of calendar year X-1 and runs through 30 September on CY-X. The President asks Congress for FY-X funds by submitting his budget in January of CY X-1. To allow adequate time for the numerous consolidations, reviews and adjustments required within the Navy, Department of Defense and the Office of Management and Budget, activities are required to submit their budget requests for FY-X to their next superiors in the command chain around August of CY X-2. This is usually the only opportunity the shore activity has to make an actual input to the FY-X budget request to the Congress. Our crystal ball must, then, be at least two full years deep if we are to make an accurate input to the budget request.

Some 10 months later, in June of CY X-1, the activity is required to submit a second funding request for FY-X. This updated request is really a request for a share of the Navy funding pie which has fixed, as far as the maximum limit was concerned, when the President sent the budget to Congress in January. The June submission, called an "apportionment request," is used by the funding agents, called Major Claimants, as a basis for fairly sharing a fixed amount of funding[2] (sometimes referred to as "sharing the poverty"). Any increases to one command must come out of other command's hides.

As originally conceived, the concept of budget requests being made to Congress six months ahead of the start of the applicable FY was to provide ample time for Congress to complete deliberations and appropriate the necessary funds before the FY began. Because of the complexity of modern defense budgets, this was the exception rather than the rule. With the passage of the 1974 Congressional Budget and Impoundment Control Act (PL93-344) the Fiscal Year cycle was changed from July - June to a October - September time frame thus permitting a longer period for the congressional reviews and passage of defense legislation. Further, the Congress imposed rather strict deadlines upon themselves which mandates completed actions by specific dates, and they appear to be complying with these deadlines.

D. What Limits are Imposed on Budget Growth. In actual practice, major claimants will usually provide to each activity a "control total," a dollar figure which each budget or apportionment request may not exceed. The activity control totals are arrived at by subdividing similar control totals which have been assigned to the major claimants by CNO. These were derived from control amounts specified to the services by the Secretary of Defense, working within the overall framework of the Five Year Defense Plan and under the constraints established by the President through the Office of Management and Budget on overall sizing of Federal Budgets. The effect of this process at the activity level is to provide a fairly firm indication, about a year ahead of time, of the financial constraints within which the activity must function. This stimulates timely action on the important unfunded requirements; that is, those requirements which are essential to the activity, but too low in priority to be funded within control totals. Precise justification statements must accompany these request, especially details of adverse effects on the activity if the requested increases are not forthcoming. The summation of unfunded requirements requests are utilized during preparation of budget submissions to the Congress to attempt to increase overall Navy totals, and, during apportionment, to make final "fine tuning" adjustments between major claimants and, then, activities. A pragmatic approach to preparing a budget submission might, then, be defined as:

1. Determining and pricing out total requirements.
2. Aligning requirements in priority order.
3. Selecting those requirements to be funded within available resources (i.e., select "funded requirements").
4. Defining impact on deferring accomplishment of "unfunded requirements."

A concept of budget formulation recently introduced by OMB entitled "Zero Base Budget" causes the major claimant to in fact submit two budgets for consideration. A "conventional budget" (often called incremental budget) where the previous years budget submission is used as a basis to which incremental cost for inflation are added to create the new budget). Each of these is developed within the same fiscal controls, and must be reconcilable; however, they are different in form and content.

Guidance and requirements for development of zero-base budget submission are somewhat in the developmental stages due to the relatively recent adoption of the concept. However, one of the basic requirements is that the budget be broken into three stages of levels of funding. They are referred to as the "minimum," "basic," and "enhanced" levels of funding.

Narrative material in support of the budget places different emphasis at each level of funding. The material for the "minimum" submission stresses the program impact at a decremented level and addresses the importance of those programs that will remain unfunded and potential impact on Fleet readiness. At the "basic" level, the narrative describes the program to be conducted and provides detailed justification and workload factors to support funding at that level which is somewhat higher than the minimum level. The "enhanced" level represents the level of funding which would be desired, if additional resources were available. The narrative material describes the program or requirement that would be supported and provides justification in support of the additional funds.

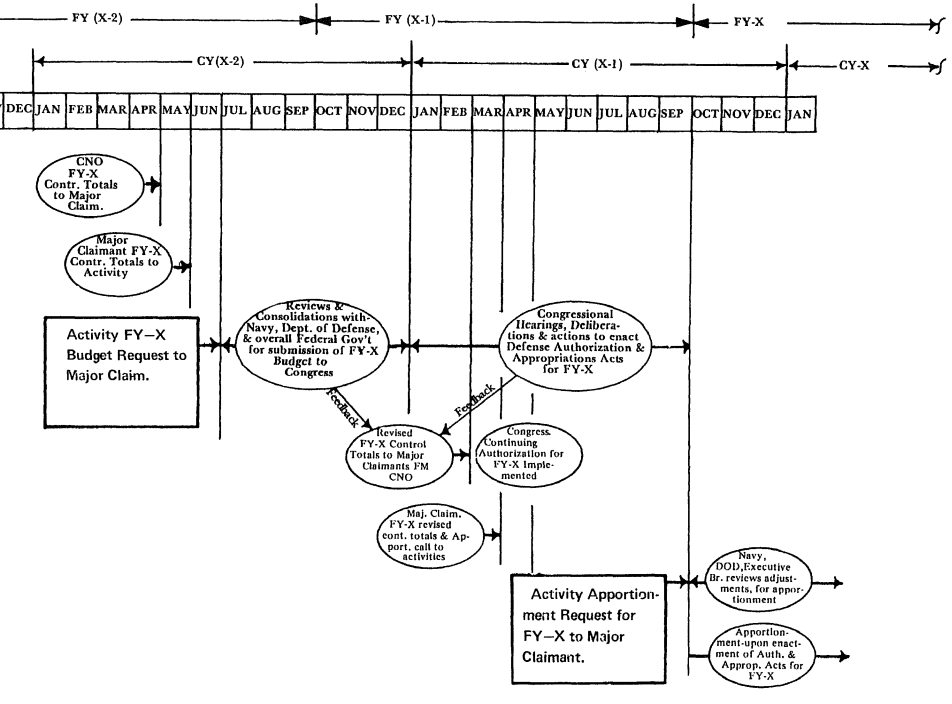
The development of quality justification material and availability of detailed data are essential to the successful defense of the budget and for orderly response to the

[2]That for Operations and Maintenance, Navy (for a recent FY) from which most Public Works Departments are funded, reads as follows:

"For expenses, not otherwise provided for, necessary for the operation and maintenance of the Navy and the Marine Corps, as authorized by law; and not to exceed $1,526,000 can be used for emergencies and extraordinary expenses, to be expended on the approval or authority of the Secretary of the Navy, and payments may be made on his certificate of necessity for confidential military purposes; $11,691,000,000, of which not less than $380,300,000 shall be available only for the maintenance of real property facilities;* *Provided, That* of the total amount of this appropriation made available for the alteration, overhaul, and repair of naval vessels, not more than $2,100,000,000 shall be available for the performance of such work in Navy shipyards of which not less than $22,000,000 shall be available for such work only at the Ship Repair Facilities, Guam: *Provided further,* That such amounts of the funds available for work only at the Ship Repair Facilities, Guam, may be used for work in other Navy shipyards in amounts equal to the amount of work placed at the Ship Repair Facilities, Guam, funded from other sources."

*This is the "Maintenance Floor" Clause.

FIGURE 13-3
MILESTONES IN FY-X BUDGET SUBMISSION CYCLE



requirements for additional data during the budget review process. It is therefore mandatory that activity commanders (1) be made aware of all planning information at the earliest possible time, (2) be afforded adequate time to prepare and submit the data, and (3) participate at each echelon of command to the maximum extent possible in consolidating the material and developing the required justification for the request.

13.1.4 What must the Public Works Officer Budget For? There is a standard way of grouping Public Works functions for resources management purposes. Fortunately for the PWO, these groupings closely parallel the organizational structure of his department, facilitating the assignment of personal responsibility for each group. In resources management terminology, the PWO's budgetary responsibilities fall into two broad groupings; Facilities Management functions and Family Housing functions. Facilities Management functions at most activities are funded from the Operations and Maintenance, Navy Appropriations (O&MN). Family Housing functions at all activities are funded from the Defense Family Housing Management Account (FHMA). Budgeting for O&MN and Family Housing is through separate funding chains with different sets of rules. Each will be treated separately.

PART 2 - FACILITIES MANAGEMENT FUNCTIONS

13.2.1 Facilities Management Functions Defined[1]. The official definition of facilities management functions, from OPNAVINST 11010 series of instructions is:

The maintenance, alteration, repair, overhaul and disposal of land and improvements (Class 1 and 2 property); the procurement and production of utilities and the operation of utilities distribution systems; the operation and maintenance of construction, weight handling, and automotive and railway transportation equipment; and the provision of public works engineering and related public works services.

As you can see, the breakdown of Facilities Management functions align closely with the functional subdivisions of a Public Works Department.

13.2.2 What Does a Facilities Management Budget Look Like? Budgets for O&MN funded naval activities are prepared on a NAVCOMPT Form 2168 (latest revision). Figure 13-4 shows a 2168 with typical Public Works Department for Maintenance of Real Property entries made. Scan the figure for general content and complexity. A great amount of information is contained on the single sheet. The PWO must understand all these entries if he is to use the budgeting system as a management tool.

13.2.3 Accounting Codes for Facilities Management Functions. Robert Townsend has defined computers as "big, stupid adding machine-typewriters."[2] Computers and accounting machines can only speak in numbers and letter codes. If machines are to be used in Resources Management, our accounting system must contain a code for use in accumulating information. Accounting system code words are commonly used in describing budgeting processes. If we're going to budget, we're going to have to learn how to talk to the machines. The Defense Resources Management System utilizes code groupings called "Functional Categories" to describe the various functional operations of shore activities. Functional Categories are divided into "Subfunctional Categories." The functional categories are letters; the subfunctional categories are designated by a number following the letter. The Functional

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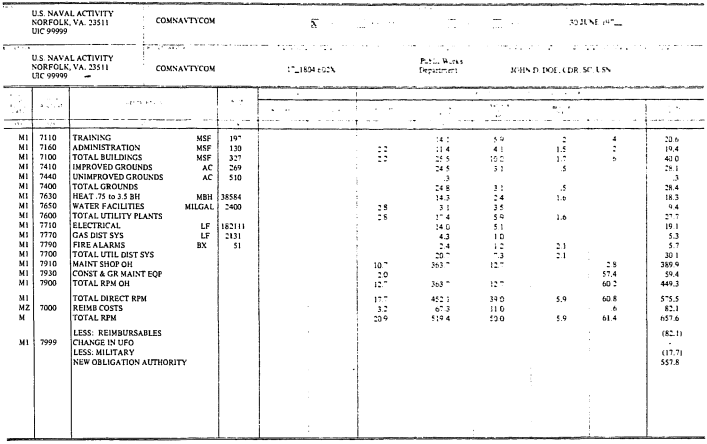
[1]More detailed budget submissions are usually required on facilities management functions than for the other operations of a Naval Shore Activity. The question, "Why?" often arises. The basic reason is that this detailed information is required by the Navy by the Office of the Secretary of Defense for specific reports to the Congress. OPNAVINST 11010.17A of 18 March 1971 elaborates on this subject as follows:

1. Special interest in the condition of military and real property and related utilities operations was manifested by Congress, by the Secretary of Defense and by the Secretary of the Navy in studies, reports, and directives issued in the 1960-63 period.

2. Under the Defense Appropriation Act of 1963, in the appropriation for Operations and Maintenance, Congress established the "Maintenance Floor" and has provided the statutory requirement in annual appropriations since then. To comply with the statute, OSD issued guidance to provide uniform definitions of cost elements for control of maintenance floor costs. Pursuant to OSD guidance, Navy Comptroller instructions generally affected all Navy Public Works because specific instrucitons for leave acceleration, fringe benefits, overhead and equipment rental had to be uniformly applied in costing and billing procedures for a variety of organizations and host-tenant agreements that extended beyond the performance of real property maintenance.

3. Independent of these actions, but directly related to the functions and organizations affected by them, the Secretary of the Navy in 1963 approved the establishment of a Single Executive Manager for Facilities matters as recommended in the Report on "Review of Management of the Department of the Navy (NAVEXOS P-2426A)." The Single Executive assignment included responsiblity to develop a budget/execution system to provide uniform and equitable distribution and appraisal techniques.

4. In 1966, the Navy was reorganized under authority of revised General Order No. 5, restructured to the unilinear Navy. Project Prime (RMS) was under the development at the same time and decisions were made prior to FY 1968 to provide each activity with a single operating budget and to distribute the resources through the chain of command. The budgets for facilities management were merged with the budgetary procedures for Project Prime. However, the Single Executive responsibility for facilities was assumed by the Chief of Naval Operations, with OPNAV-04-44 assigned as the focal point. The technical control of related budget data systems was retained under policies issued by OPNAVINST 11010.23B and the detailed guidance in the original issues of OPNAVINST 11010.27. Embraced within this Navy policy are specific and unique detailed reporting and management requirements imposed by OSD (I/H) for Real Property Maintenance functions.



U.S. NAVAL ACTIVITY
NORFOLK, VA. 23511
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Public Works
Department

JOHN D. DOE, CDR, SC, USN

M1	7110	TRAINING	MSF	197			14.2	5.9	.2	4	20.6
M1	7160	ADMINISTRATION	MSF	130		2.2	11.4	4.1	1.5	.2	19.4
M1	7100	TOTAL BUILDINGS	MSF	327		2.2	25.5	10.0	1.7	.6	40.0
M1	7410	IMPROVED GROUNDS	AC	269			24.5	3.1	.5		28.1
M1	7440	UNIMPROVED GROUNDS	AC	510			.3				.3
M1	7400	TOTAL GROUNDS					24.8	3.1	.5		28.4
M1	7630	HEAT .75 to 3.5 BH	MBH	38584			14.3	2.4	1.6		18.3
M1	7650	WATER FACILITIES	MILGAL	2400		2.8	3.1	3.5			9.4
M1	7600	TOTAL UTILITY PLANTS				2.8	17.4	5.9	1.6		27.7
M1	7710	ELECTRICAL	LF	182111			14.0	5.1			19.1
M1	7770	GAS DIST SYS	LF	2131			4.2	1.0			5.3
M1	7790	FIRE ALARMS	BX	51			2.4	1.2	2.1		5.7
M1	7700	TOTAL UTIL DIST SYS					20.7	7.3	2.1		30.1
M1	7910	MAINT SHOP OH				10.7	363.7	12.7		2.8	389.9
M1	7930	CONST & GR MAINT EQP				2.0				57.4	59.4
M1	7900	TOTAL RPM OH				12.7	363.7	12.7		60.2	449.3
M1		TOTAL DIRECT RPM				17.7	452.1	34.0	5.9	60.8	575.5
M2	7000	REIMB COSTS				3.2	67.2	11.6		.6	82.1
M		TOTAL RPM				20.9	519.4	52.0	5.9	61.4	657.6
		LESS: REIMBURSABLES									(82.1)
M1	7999	CHANGE IN UFO									-
		LESS: MILITARY									(17.7)
		NEW OBLIGATION AUTHORITY									557.8

FIGURE 13-4
OPERATING BUDGET/EXPENSE REPORT (FOR SUBFUNCTION M1)

Categories/Subfunctional Categories describing Facilities Management Functions are:[1]

Description (In People-Talk)	**Functional Category (Subfunctional Category)** (In Machine-Talk)
Base Services (that portion including Automotive Transportation	L(7)
Maintenance of Real Property	M
Utilities Operations	N
Other Engineering Support	P
Minor Construction	R

13.2.4 How Detailed Must Our Cost Breakdown Get? As already noted, Functional Categories are divided into Subfunctional Categories. We need a further breakdown to really be able to see what's happening with our money. The machine code-numbers to provide us this breakdown are called Cost Account Numbers (CANS, for short). The summarization levels in the PW0's budget are shown in Figure 13-5.

13.2.5 How Many Ways Must We Slice the Pie? The Functional Category - Cost Account Structure arrays costs by outputs, i.e., maintenance performed on various facilities, specific utilities generated, transportation utilized. The remaining factor in the matrix accounting system breaks out cost by inputs. The input related accounting codes are called *"Expense Elements."* There are twenty-four (24) of these as follows:

[1] Described in more detail in Volume 2, Chapter 4, Paragraph 024640 of NAVCOMPT Manual.

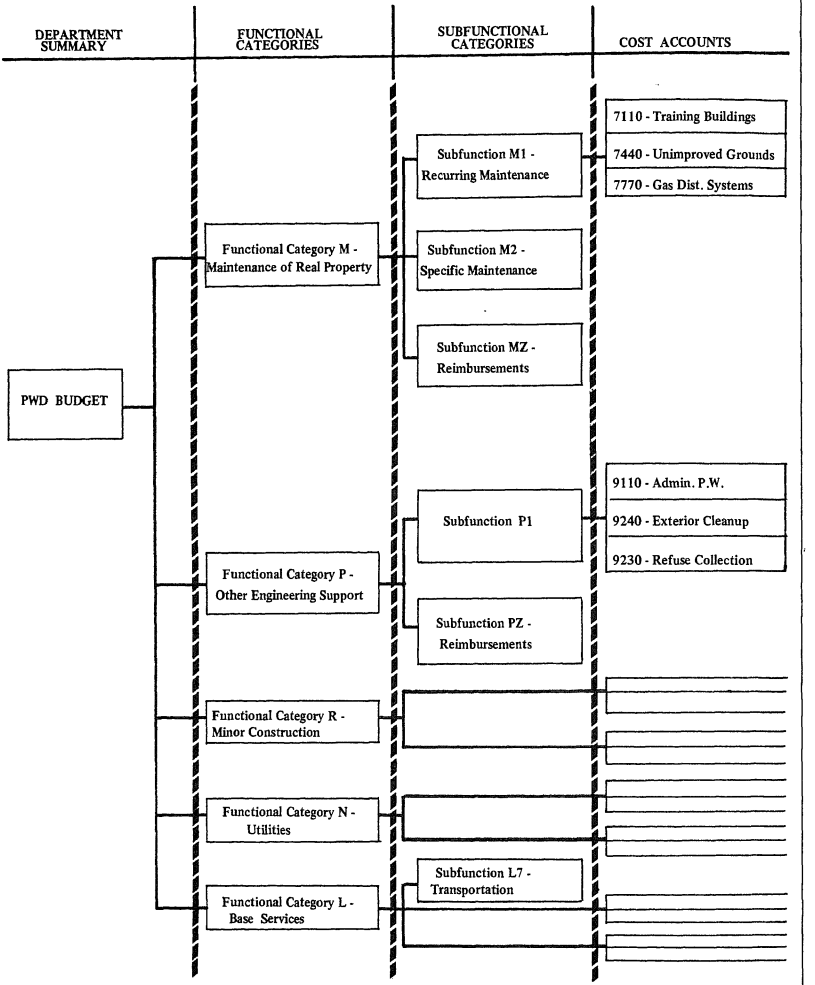


FIGURE 13-5
TYPICAL SUMMARIZATION LEVELS ON O&MN BUDGETS

Some examples of Facilities Management Cost Accounts under the various Functional Categories are:[1]

Functional/Subfunctional Category	Description	Cost Account	Description
M1	Recurring Maintenance	7110	Maintenance of Training Buildings
M1	Recurring Maintenance	7160	Maintenance of Admin. Buildings
M1	Recurring Maintenance	7440	Maintenance of Unimproved Grounds
N1	Utilities	8110	Production Plant Operations, Steam and Hot Water .75 - 3.5 MBTU
N1	Utilities	8410	(Potable) Water Plant, Operation
N1	Utilities	8810	Gen. Utility Oper. OH
L7	Transportation	6240	Sedans
L7	Transportation	6380	Bus 37 Passenger
L7	Transportation	6540	Grounds Maintenance, EO
P1	Other Engineering Support	6240	Exterior Clean-up
P1	Other Engineering Support	9260	Intrastation moves

A - Military Personnel
B - Military Trainees
C - Military Personnel Unassigned
D - Purchased Equipment Maintenance
E - Travel of Personnel
F - Transportation of things - Military Airlift Command
G - Transportation of things - Commercial Air
H - Transportation of things - Military Sealift Comand
J - Transportation of things - Inland Transportation
K - Transportation of things - QUICKTRANS
L - Transportation of things - Other
M - Utilities and Rents
N - Communications
O - Service Other, Transfers, unfunded
P - Purchased Equipment Maintenance
Q - Purchased Services, Other
R - Aircraft POL
S - Ship POL
T - Supplies
U - Civilian Personnel
V - Other POL
W - Equipment
X - Other Expenses
Y - Printing and Reproduction
Z - Service Transfers, Funded

Columns (7) through (11) on the Budget Form (NAVCOMPT 2168) provide a partial Expense Element Breakout. Figure 13-6 shows a budget array of costs both by Cost Account and Expense Element in a matrix format, which one major claimant requires of his activities.

[1] A complete list of Functional Categories utilized by Naval Shore Activities (O&MN Funded) as provided in NAVCOMPT Manual, Volume 2, Chapter 4, Part D are:

Functional Categories	Codes	Functional Categories	Codes
1. Mission Operations	A,B,C	7. Overseas Dependent Education	K
2. Administration	D	8. Base Services	L
3. Supply Operations	E	9. Maintenance of Real Property	M

Element of Expense	FUNCTIONAL CATEGORY (In Thousand Dollars)													Total Oblig
	Mission Ops	Admin	Supply Ops	Maint of Mat'l	Property Disposal	Medical Ops	Base Svcs	MRP	Op of Utilities	Other Engnr Support	Minor Const	Personnel Support	Transp	
	A, B, &C	D	E	F&G	H	J	L	M	N	P	R	S	L7	
Civilian Personnel (U)														
Travel of Personnel (E)														
Transp of Things (F-L)														
Utilities & Rents (M)														
Communications (N)														
Purchased Equip Maint (P)														
Purchased Equip Maint (D)														
Printing & Reproduction (Y)														
Other Purchased Svcs (Q)														
Aircraft POL (8)														
Ship POL (8)														
Other Supplies (T)														
Equipment (W)														
Other Expenses (X)														
Service Credits (Z)														
Total Obligations														
Civ Man-Years														

FIGURE 13-6
FUNCTIONAL CATEGORY - EXPENSE ELEMENT BUDGET ARRAY

13.2.6 Where Do Budget Submissions Go? The Activity Comptroller Department correlates the inputs from all other departments to form a single budget submission package. Departments are usually designated in resources management terms as "Cost Centers." The activity as a whole is usually designated as a "responsibility center." The budgets must be submitted up the military chain of command to the "Major Claimant," or funding authority. Figure 13-7 reflects the paperwork flow on a typical O&MN budget submission.

Major claimant in turn responds to budget calls from higher authority and this ultimately leads to a consolidated Navy budget being submitted to DOD for approval. One of the concerns of the Chief of Naval Operations relates to the physical condition of the Navy shore establishment. For this reason the budget submission for Real Property Maintenance Activities (RPMA) has been configured to match the Investment Category (IC) concept employed in the Military Construction Program. The following is an extract from a recent Issue Paper prepared to support the RPMA budget need in the development of the Navy POM Process:

"The enormous size and variety of Navy facility assets which are supported by O&M,N appropriations (currently $28 Billion worth of facilities) tends to complicate analysis of maintenance and repair requirements. In order to resolve this matter and derive accurate program estimates, it is necessary to study component parts which comprise the Naval Shore Establishment. Furthermore, the design and definition of those component parts is critical if one wishes to gain insight into the variety of assets and their link to mission responsibilities. The method currently used to structure facilities information divides shore facilities into eighteen investment categories which are explicitly mission related (e.g. IC 01 = Aviation Operational Facilities; IC 03 = Waterfront Operational Facilities).

Analytical results which derive from investment category analyses are used as fundamental building blocks for insertion into the Navy Planning, Programming and Budgeting System. This is accomplished through coordinated reviews and updates of POM, FYDP and Budget information. It is recognized that planning must take place in the earliest stages of POM/FYDP in order to accomplish objectives of the maintenance/repair program.

Fundamental to effective planning is the organization, review and examination of historical information and the establishment of cause and effect. Maintenance and Repair analysis seeks to find relationships which exist among physical characteristics of the Navy's plant, historical maintenance expenditures and historical maintenance backlogs. The analysis is structured by investment category so that once a relationship is established its linkage to mission can be addressed. An overlay, then, of expected future mission and expected future plant characteristics produces a forecast of expected future maintenance and repair requirements.

Two extremely important sources of maintenance and repair management information are extracted from the Real Property Inventory (RPI) and RPMA budget execution exhibits. The RPI is utilized as the primary source of information regarding the physical characteristics of the Navy's facility assets; and the budget execution report is the source of maintenance expenditure data.

The cornerstone of the maintenance and repair management information system is the Annual Inspection Summary (AIS). Each year all activities in the Navy with a responsibility for funding maintenance and repair are required to provide a list of all deficiencies that exist as of a specific date for real property under their cognizance. Upon completion of the inspection, the activity is required to identify that list of deficiencies which, because of operational needs or economic impact, cannot be deferred beyond the current fiscal year. These lists of total deficiencies and nondeferrable deficiencies are then forwarded to the Major Claimant. The concept of having activities recognize the difference between deferrable and nondeferrable deficiencies is signficant. This technique forces the lowest responsible level of management to recognize the importance of various deficiencies over others, thus insuring that mission related deficiencies receive the highest priority. Of equal importance is the amount of creditibility which is built into the backlog listing. The resultant Navy AIS can fairly safely be assumed to be in strict accordance with a rather restrictive DOD definition of BMAR. Each claimant is required to summarize the activity AIS by Investment Category (IC) and to provide to the CNO a narrative assessment of the condition of real property and an impact statement of this condition on the ability to perform the assigned mission.

The establishment of the maintenance and repair management information system leads to the development of profiles of data structured by investment category. Evaluation of quantitative and subjective data contained within these profiles leads to the determination of the Navy's "minimum cost of ownership" in terms of facility maintenance and repair.

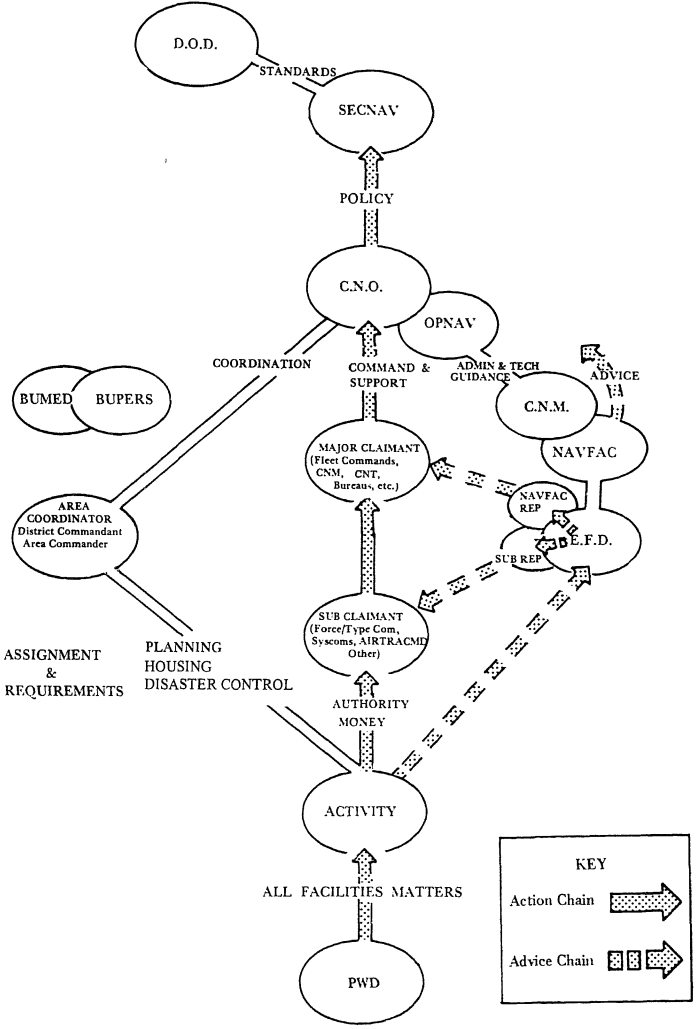

D.O.D.
STANDARDS
SECNAV
POLICY
C.N.O.
OPNAV
COORDINATION
COMMAND & SUPPORT
ADMIN & TECH GUIDANCE
ADVICE
BUMED
BUPERS
C.N.M.
NAVFAC
MAJOR CLAIMANT (Fleet Commands, CNM, CNT, Bureaus, etc.)
NAVFAC REP
E.F.D.
SUB REP
AREA COORDINATOR District Commandant Area Commander
SUB CLAIMANT (Force/Type Com, Sycoms, AIRTRACMID Other)
ASSIGNMENT & REQUIREMENTS
PLANNING
HOUSING
DISASTER CONTROL
AUTHORITY
MONEY
ACTIVITY
ALL FACILITIES MATTERS
PWD
KEY
Action Chain
Advice Chain

FIGURE 13-7

The Navy's requirements for facilities maintenance and repair are composed of four components. The first component addresses the amount of funding which is necessary to offset annually generated maintenance and repair requirements of active facilities. This component exists regardless of past funding levels or current condition of plant assets. Funding trends below this level result in consumption of plant assets and accumulation of a nondeferrable maintenance and repair backlog. The second component considers the marginal growth in an existing backlog which is the result of accelerated deterioration. The accelerated deterioration results from "exposure" caused by a lack of repair. The third component is the marginal growth in value of an existing backlog which is caused by inflation. The fourth component considers resources necessary to systematically reduce the nondeferrable component of maintenance and repair backlog to a quantifiable goal over a specified time horizon.

The requirements for Facility Maintenance and Repair can be broken down into four sub-requirements:

(1) funds to offset annually generated requirements
(2) funds to offset the marginal growth in backlog due to backlog deterioration
(3) funds to offset the marginal growth in backlog due to backlog inflation
(4) funds to systematically reduce backlog.

It is evident that items (1) and (2) must be funded in order to offset "real" growth in backlog. We view this cost as a direct on-going responsibility associated with ownership and refer to it as "cost of ownership".

The approach to funding items (3) and (4) is one which is reviewed annually by a special board set up within the office of the CNO. The Shore Facilities Programming Board (SFPB) is composed of members from all Major Claimants and CNO (OP-44). It meets annually in June to review CNO maintenance and repair policy, and establish long term CNO program objectives and goals. This board recommends a priority mix of facilities by IC which are to receive emphasis above the cost of ownership due to mission hardships inflicted by the continued existence of BMAR. This board also reviews the time horizons for BMAR reduction in consideration of mission requirement and OSD guidance. It can be said, therefore, that the CNO approved program objectives are direct long term guidance for a funding plan above "cost of ownership." Therefore, this incremental plan for BMAR reduction addressed by items (3) and (4), plus the basic cost of ownership addressed by items (1) and (2), comprise the Navy's facility "Minimum Cost of Ownership".

In summary, the current management philosophy aids in institutionalizing a systematic approach to assessing the impact of real property on overall naval operations. By relating real property needs to operational requirements, creditibility is built into the programming and budgeting process. The complete participation of the activities and claimants in the process assures a far more timely and accurate assessment of the problem. The ultimate goal of the current philosophy is to have each activity commanding officer and claimant familiar with the relationship of his facility needs to his ability to perform the assigned mission so that their resource allocation decisions are based upon an understanding of the costs, benefits, and risks associated with the alternatives considered."

13.2.7 Where Does the "Action" Take Place in Public Works Budgeting? Most of the decisions which determine how much Facilities Management Resources the PWO will have for the current year are made right at the activity level. The control figure for O&MN funding assigned to the activity by the major claimant will usually specify the *minimum* amount which must be spent on Maintenance of Real Property (Functional Category M1) and Minor Construction (Functional Category R1), which together comprise the "Maintenance Floor." How much of the remaining control total shall be allocated for other engineering support (Subfunctional Category P1), Utility Operations (Subfunctional N1) and Transportation O&M (Subfunctional Category L7), is at the discretion of the Commanding Officer. The decision on how much of the "Maintenance Floor" to utilize for Minor Construction and how much for Maintenance of Real Property also rests with the Commanding Officer, within whatever constraints the Major Claimant has established (some limit expense for R1 to a percentage of M1 expenses, i.e. 2%). The PWO must, therefore, compete at the local level with other department heads for his fair share of the control total. He begins with a slight advantage, as Public Works can usually depend on being allocated all or most of the Maintenance Floor control figure. The department must do its homework well, however, if its overall fair share is to be forthcoming.

13.2.8 What Homework Must the PWO Do? The PWO must be completely knowledgeable on the finances of his department if he is to successfully compete for resources. The knowledge he must possess can be expressed as the *Five* Commandments for Public Works Budgeting:

A. Know Thy Requirements. Know them to some degree of detail. Know the "why" and the "how" of them as well as the "what."[1] Know them in terms of expense elements as well as Functional Categories, and be able to speak in terms of labor, material and contracts as well as function. Don't count on always being able to fall back on a subordinate at activity budget meetings. Requirements for current year funding can be estimated with very reasonable accuracy by projecting forward from mid-year reports (Annual Inspection Summary, UCAR, TOMCR) as previously described. Get requirements for the upcoming year projected and reduced to budget format as soon as the mid-year reports are out. Know them as well as you know your wife, but not as passionately; cool judgement will be required to select which are to be funded.

B. Know Thy Commanding Officer's Priorities on Thy Requirements. Every Commanding Officer has some personal desires on the priorities of the Public Works Department. Some, such as a strong desire to provide the best possible troop housing accommodations, are almost intrinsic in command. Others, such as a strong bent to conserve utilities, may have been engendered by the counselling of a prudent PWO. From whatever source, a knowledge of the Commanding Officer's priorities on Public Works functions is vital to top Public Works management in shaping financial planning. In selecting those requirements which must be deducted in order to live within the control totals, the PWO must be able to speak in terms of costs and benefits on tradeoffs, especially if he is recommending deferring a requirement in which the Commanding Officer who is responsible for the condition of his facilities. The PWO must provide his knowledgeable advice in facilities matters to the Commanding Officer, but the final priorities rest with command.

C. Establish Reasonable Objectives and Goals. This is perhaps the most important job of management. Once overall requirements are defined and priorities wrung out, specific objectives to be aspired to within resource totals can be established. The smaller the resource pacakge, the fewer (or smaller) the objectives that can be achieved. (For instance, the objective to complete updating all utilities "one-line" drawings using summer temporary hires may have to be eliminated, or shrunk to updating electrical "one-liners"

only.) Once the department totals are firmed up and objectives nailed down, the next necessary step is to set time goals against which progress can be measured (such as "complete updating of electric system one-liners by 31 August").

D. Cultivate Thy Comptroller. An old adage of Public Works Management states that, "a PWO must know the Comptroller's business better than the Comptroller does." Much truth resides therein. As the PWO may control up to or more than half of the funds received by O&MN funded the activity, close relationship between Public Works and the Comptroller Department must exist if business is to progress smoothly. A personal rapport between the PWO and the Comptroller on Public Works funding matters can be one of the PWO's (and the Comptroller's) most valuable management assets. Complementing each other, they form a management team of massive strength. Support from the Comptroller can often be the deciding factor in support of the PWO in command decisions.

E. Do Not Drown Thy Commanding Officer in Detail. The Public Works and Resources Management Systems provide data for computation of Public Works requirements in exquisite mathematical detail. A common failing in briefing Commanding Officer's on Public Works requirements is to begin by explaining, in intricate detail, the complicated rationale by which the requirements were derived. Most Commanding Officer's are primarily interested in the end product, the quantified requirement. They cannot but lose patience during a detailed count of the trees when the size of the forest was the question to be answered. State the total requirement first, and provide a breakdown only as far as the Commanding Officer wants it. But be prepared to answer the Commanding Officer's questions to any level he may ask. Save the intimate detail for negotiations with the Comptroller and other department heads.

13.2.9 When Should What Be Done? A typical sequence of a PWO preparing for an apportionment request for "current" year funding might run as follows:

A. January - This is a month of raw data assembly, principally in the area of first report preparation. The Maintenance Control Division will be busy preparing the Annual Inspection Summary. Transportation and part of Administration will be making inputs to the Transportation O&M Cost Report. Utilities, Engineering and others in Administration should be inputting to the Utilities Cost Analysis Report. Besides actually preparing the smooth submissions of the above cost reports, the Comptroller Department will be turning out the Quarter NAVCOMPT 2168's and 2169's. These documents all form a basis for projection of next fiscal year's requirements. About 20 January, they should be all available.

B. February - This should be the month when requirements for next year are pretty well nailed down. Use the entire Public Works Management Team for this effort. It should be coordinated by the APWO, and the Administration Division should be the central clearing house for information assembly. The objective is to have next fiscal year's requirements quantified in both workload units and costs correlated to expense-elements and costs for each Public Works Functional Area, by the end of February. Along with the total requirement, recommended priorities should be PWO with the APWO as Executive Chairman, the Administration Division Director as recorder, and the directors of the other divisions as working members, makes a well-balanced team. (An activity with an experienced shops engineer may find it most advantageous to use that officer as executive chairman of the panel). The PWO should hold the first panel meeting around the end of January to charge the group with its objective and lay the ground rules. Factors causing changes for next year such as new facilities being brought on-line, anticipted changes in base loading, anticipated rate increases for utilities, contractual services for which increases are expected, etc., should be brought to the attention of all members. Policy guidance on items to consider as possible deductive measures to adjust within final constraints should be given by the PWO. Specific assignments should be made to each panel member. A recommended functional assignment list might be:

M - MCD lead, Maintenance Division, Engineering Division and Utilities Division contributes.

N - Utilities Division lead, Engineering Division contributes.

P - Administration Division lead, Maintenance Control Division and Engineering Division contributes.

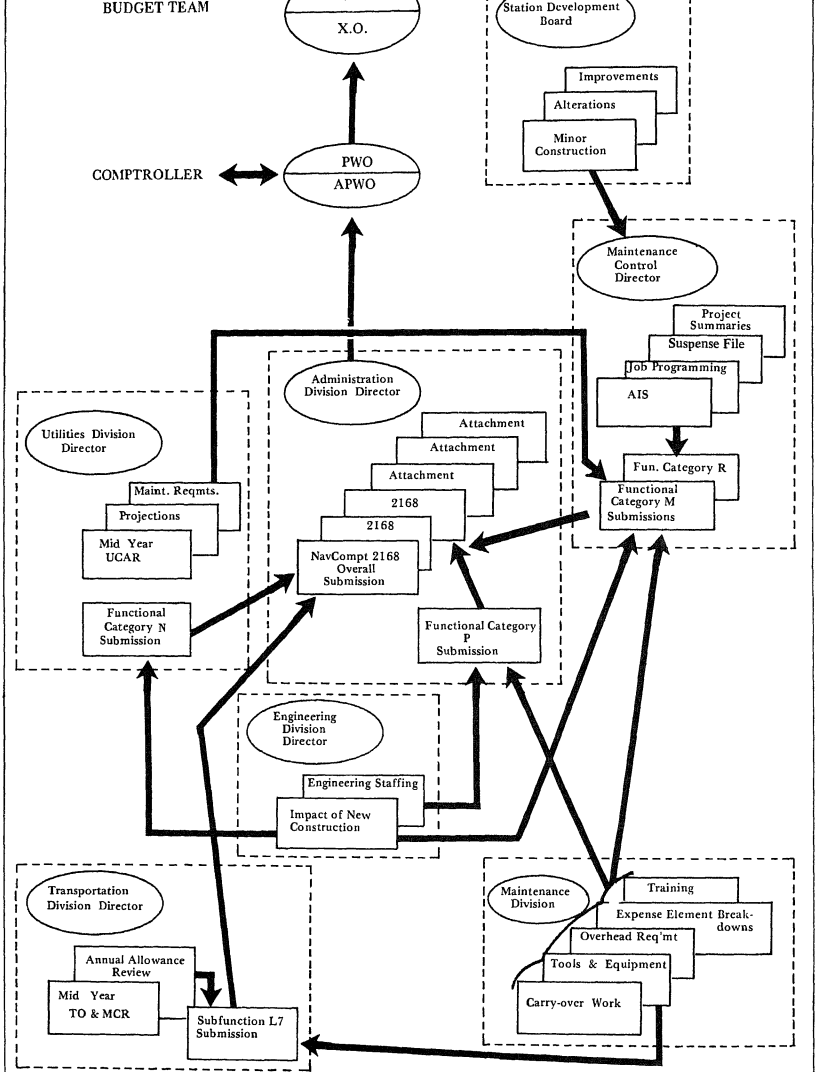
L7 - Transportation Division lead, Administration contributes.

R - Maintenance Control Division lead, Engineering Division contributes.

Figure 13-8 graphically portrays the process that should take place.

The responsible codes should have rough budget submission data in the form of NAVCOMPT 2168's and back-up attachments, along with recommended, costed deductive items, ready for presentation to the panel by the date specified by the PWO (about the end of February). The budget year request submitted the previous July makes a valuable starting point. Progress meetings of the panel should be held to the minimum required to keep the effort moving on schedule. One progress meeting about the middle of February might well suffice. A key factor for success in this endeavor is for the PWO to make crystal clear that it enjoys his top priority, and that he expects to be cautioned when other directions impinge upon the time required to complete this assignment *on time*. The Administration Division Director should summarize the overall department requirements upon completion of the individual functional components.

The panel should meet again as a whole to hear the reports of the lead codes to the PWO. An afternoon should be set aside for this purpose so that all members can get the full picture. After a overall summary presentation by the Administration Division Director, each responsible code should make a summary presentation on requirements for his functional categories for the "current" year, comparing them to the "past" year at a base, explaining the reasons for changes, outlining proposed deductive items. Other panel members should be invited to question and offer suggestions. This meeting (or meetings, if more time is required) is the


BUDGET TEAM
X.O.
Station Development Board
Improvements
Alterations
Minor Construction
COMPTROLLER
PWO
APWO
Maintenance Control Director
Project Summaries
Suspense File
Job Programming
AIS
Fun. Category R
Functional Category M Submissions
Administration Division Director
Attachment
Attachment
Attachment
2168
2168
NavCompt 2168 Overall Submission
Utilities Division Director
Maint. Reqmts.
Projections
Mid Year UCAR
Functional Category N Submission
Functional Category P Submission
Engineering Division Director
Engineering Staffing
Impact of New Construction
Transportation Division Director
Annual Allowance Review
Mid Year TO & MCR
Subfunction L7 Submission
Maintenance Division
Training
Expense Element Break-downs
Overhead Req'mt
Tools & Equipment
Carry-over Work

and its results recorded and summarized, the PWO is ready for activity budget meetings.

C. Early March - This is the month when budgeting actions for the "current" year really heat up. The apportionment call from the Major Claimant, along with the not-to-be-exceeded Control Amounts, may arrive as early as the end of this month. The early part of March should be used by the PWO to smooth the way for his department in the upcoming station-wide apportionment request deliberations. Having his requirements and rationale in hand, his thrusts should be in two directions, up to the Executive Officer and Commanding Officer, and horizontally to the Comptroller. About the first of March, he should let both these channels know that he has his requirements costed out and is ready to discuss them. While a working-luncheon with the Comptroller might prove a good approach, the Executive Officer, and then the Commanding Officer, should receive carefully prepared briefings. The dreary detail of computation must be ruthlessly subordinated to salient data of direct use to command. This is the time when the "fifth commandment of budgeting" must be in full force. Beyond a statement of total requirement, the Commanding Officer (and the Comptroller) needs to know where cost growth is occuring, and the basic reasons why. He will be interested in what deductive items will have to be sacrificed if the full requirements cannot be funded. This is a time for utter honesty and frank, cool statements of fact. The second commandment of budgeting, "*Know Thy Commanding Officer's Priorities...*", should be in the forefront of the PWO's mind. Be realistic on deductions (the worst possible course would be to recommend deducting all the items high on the Commanding Officer's list). While the PWO must be careful not to appear to be attempting to "steal a march" on the other department heads, the "skid-greasing" that can be accomplished by the earliest possible apprising of command (and the Comptroller) of Public Works requirements can be invaluable to all concerned during the upcoming hectic period between the apportionment call by the Major Claimant and the short fused submission date. Never let the Commanding Officer or Executive Officer be surprised by a statement on Public Works requirements from the Comptroller, and vice versa.

D. Late March-April - Now the pace becomes feverish. The apportionment call from the Major Claimant may arrive as early as the latter part of March, along with the all important Control Amounts. The activity submission to the next superior in command will most likely be due in late April. If communications have been fully open with the Major Claimant, there should at leat be no procedural surprises (a call to the Major Claimant Staff Civil Engineer in March to be sure is a good idea). Many decisions must be reached in a short amount of time. An early, tough job for the Commanding Officer must be to decide how to divide the all-too-small control amount between his departments. Different Commanding Officer's will use different procedures, ranging from concensus determinations by an activity budget board, to acting on unilateral recommendations by the Comptroller. All involve some summation of the total requirements of all departments and a decision on how much to find for each. The PWO should begin this process with a slight advantage, for within the Control Amount, a Maintenance Floor Amount which must be spent for M&R functions will be specified. The PWO can usually count on receiving the whole of this amount to support his department. But the amounts he will receive for utilities, other engineering support and transportation will depend on how convincing his arguments are in support of his requirement, and what overall priority the command determines that they merit. At any rate, by the middle of April, the portion of the control amount which Public Works will receive should have been finalized. From that decision, the PWO must make the final determination on how much to allow for each function. He may wish to get assistance from his budget panel in making this determination, or may prefer to make it alone. He should utilize his budget panel to put together his final package for submission to the Comptroller, especially the package on unfunded priority requirements which should accompany the activity apportionment request. If the deductive items previously described have been chosen carefully, the unfunded requirements request (sometimes called a "reclaim" should be fairly easy to prepare. Once the Comptroller has compiled the activity submission package, the PWO can get on with finalizing the translation of the resource targets assigned to his department into specific goals and objectives to be attained within the year. After taking a deep breath, he can then plunge into preparation of the budget year request.

E. May-June - The Major Claimant budget call for the "budget" year will usually be published near the end of April and require activity submissions about 1 July. The process of preparing a budget year request within the Public Works Department should be essentially the same as preparing the apportionment request. It basically consists of extrapolating the same data forward for another fiscal year. Most Major Claimants publish control amounts for the budget year also, including a specific maintenance floor. The command must again distribute the control amount by department and prepare submissions totaling that amount. In addition, an "unfunded requirements" submission, must be prepared. Particular attention must be paid to the budget year request (including unfunded requirements) as this is the only chance the activity has to make an input to the budget request to Congress.

F. October - Upon commencing the new fiscal year, some Major Claimants require the submission of an Operating Plan for the FY in the form of revised 2168's totaling the Control Amount. This is, in essence, an update, or "fine tuning" of the apportionment request. Whether or not this is a requirement of higher authority, the PWO should make the necessary adjustments to the apportionment request to have his financial roadmap for the year laid out before the department.

13.2.10 What Would A Typical O&MN Budget Request Consist Of? The most complex submission required is usually the request for the "budget" year (required about 1 July). The submission of data is required to the Cost Account detail for "past," "current" and "budget" years. The basic data are displayed on a series of NAVCOMPT 2168 forms, backed up by narrative justification, and number of supplementary exhibits. When the Major Claimant has provided control amounts for the "budget" year as well as the "current year", the totals shown on the submission sheets must agree with those control amounts. A separate request for resources to cover "Unfunded Requirements" may be submitted, as

specified by the particular Major Claimant. Figure 13-9 lists the components of a Facilities Management Budget Request required by one Major Claimant.[1]

13.2.11 What Are The Sources of Facilities Management Budgeting Information? The Public Works Management Systems provide the PWO with detailed information and logical rationale for developing practical budgets. Each function/subfunction will be discussed separately. Exact details on how to finalize budget submissions are contained in Major Claimant Instructions or Notices of the 7100 series.

A. Subfunction M1 - Maintenance of Real Property.[2] The basis for budgeting for subfunction M1 is the Maintenance Management System, and the Shore Installation and Facilities Planning and Programming System. Figure 13-10 shows a typical NAVCOMPT 2168 prepared for M1 subfunction.

(1) Annual Inspection Summary. A primary tool in developing requirements for M1 is the Annual Inspection Summary (See Chapter 12). Submitted in January of each year to report the condition of facilities as of 31 December, this report breaks out unfunded deficiencies by Facility Category Code. The breakout can be easily cross-correlated to cost account.

(2) Funds Distribution Plan Rationale. Figures 13-11, 13-12, and 13-13 outline the rationale specified by one Major Claimant for projecting subfunction M1 requirements forward from the current year to the budget year. In essence, this Major Claimant allows listing one-fifth of the Unfunded Deficiency for Minor and Specific Maintenance and Repair (funding for correction of total deficiencies within a shorter time span is just not considered feasible within budgetary constraints) and all of the UFD for other M1 CANS as a requirement in the budget year. Cost adjustments for changed quantities (i.e., adding or deleting facilities), are allowed and computed on Figure 13-13. The SIFPPS should provide the initial source of this required information. This rationale readily lends itself to adoption at the activity level by all activities. Expansion of the line items on the worksheets to the Cost Account Level provides a most meaningful display for the MCD, APWO and PWO. (**Caution** - Worksheets to that detail should *not* be used as briefing tools in discussions with command unless the Commanding Officer requests such detail. This is an example of the kind of "trees-counting" approach which should be avoided when describing "the forest" to the Commanding Officer.)

(3) Subfunctional MZ - Reimbursements - A Key Factor in Many Public Works Budgets. Reimbursements in the M1 function come principally from tenant commands. Facilities Special Projects above the Commanding Officer's authority funded by higher authority are included in *MZ if* performed by Station Forces. Many activities have been formally designated as Public Works lead activities to consolidate such services within a geographical area, and to save costs to the Navy. Many PWO's may find a substantial portion of their Maintenance Division workforce supported by reimbursements from other commands. Without the reimbursements, the payroll could not be supported. MZ estimates must be obtained from paying customers. (Note that to obtain total Real Property Maintenance expense authority, MZ must be added to the summation of M1 cost accounts.)

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[1]The General Budget Preparation Guidance provided with Figure 13-9 by the Major Claimant is of interest, and quoted as follows:

a. **NAVCOMPT Form 2168** — Operating Budget will be used for preparation of budget estimates. Separate NC2168 will be prepared for each Functional/Subfunctional Category and each Fiscal Year (three years equal three sheets per Functional/Subfunctional Category). Entries are explained in Part A, paragraph 1 (see samples Attachments 1 through 5).

b. **Narative Justifications**, as listed below, will be prepared on sheet size 8 x 10½ by Subfunctional Category, i.e., L7, N1, P1, M1 and R1, and attached to the appropriate NC 2168 for current FY and budget FY.

(1) Support changes between the NC 2168 for past year and NC 2168 for current year.

(2) Support changes between the NC 2168 for current year and the NC 2168 for budget year.

(3) Support unfunded requirements.

Justification will include where applicable:

(1) **Factor that caused a resource change.** Provide a clear and quantified definition of the factors that generated the requirements, such as pay raise, increased workload, MILPERS, new function, new programs, new MCON, cost growth, maintenance backlog and other correction of deficiencies.

(2) **Effect of Public Works Functions.** Provides a clear illustration of the effect on Public Works Functions, i.e., increased janitorial services due to activation of building 241; increased KWH of electricity due to movement of Fleet Vessels; increased number of transportation equipment and increased mileage due to addition of two P-2 squadrons.

(3) **Itemized effect on Facilities Management Funds.** Furnish detailed computation utilizing unit cost to price out. Where possible, identify specific cost accounts.

(4) **Impact if additional resources are not provided.** Clearly indicate the precise impact upon the activity that will occur if additional resources are not provided. General statements such as "ability of this activity to perform its assigned mission" are not acceptable. Specify those workload units presently performed that would be displaced and show the expense of the displaced workload units.

(5) **Exhibits A-1 through A-10** will be attached to the appropriate NC 2168 for the budget year. Guidance for preparation of exhibits is included in Part A

NC 2168 Budget	M-1	X	X	X
NC 2168 Budget	R-1	X	X	X
NC 2168 Budget	P-1	X	X	X
NC 2168 Budget	N-1	X	X	X
NC 2168 Budget	L-7	X	X	X
Program Narrative Justification	M-1, R-1 P-1, N-1, L-7		X	X
Exhibit A-1	M-1		X	
Exhibit A-2	M-1			X
Exhibit A-3	M-1			X
Exhibit A-3	P-1			X
Exhibit A-4	P-1		X	
Exhibit A-5	P-1			X
Exhibit A-6	R-1		X	
Exhibit A-7	N-1			X
Exhibit A-8	L-7	(3 years on 1 sheet)		
Exhibit A-9	M,P,R, L-7, N			X
Exhibit A-10	M-1	X	X	X

FIGURE 13-9
REQUIREMENTS DOCUMENTS FOR FACILITIES
MANAGEMENT BUDGET SUBMISSION

(4) Decisions, Decisions! The PWO will personally involve himself in the decisions on how much of the Real Property Maintenance total will be allotted to each cost account. The available funds will never be great enough to cover all deficiencies. He must therefore set the objectives to be achieved within the available resources, in consonance with priorities established by the Commanding Officer. His MCD staff should, working within priority guidance provided by the PWO, prepare proposals on "Deductive Items" for his approval.

B. Subfunction R1 - Minor Construction. Minor Construction Projects, within the approval authority of the Commanding Officer as specified in OPNAVINST P-11010.2B (currently $15,000 per project) are funded from the Maintenance Floor Control Amount. The first decision required will be how much will be utilized for subfunction M1 and how much for R1. The listing of approved Station Development Board. Once the Commanding Officer has approved the specific amount to be utilized for subfunction R1, the Shore Station Development Board should select the projects to be accomplished. This is a command function which the PWO is less well qualified to perform than the board, as it involves setting mission priorities. Once the list is selected, MCD can readily make up the budget submission sheet, an example of which is shown in Figure 13-14. Note that, as with subfunction M1, RZ is added to total R1 to obtain total R expenses. Again, minor construction projects funded by higher authority, but *performed by station forces*, are included in RZ.

C. Subfunction P1 - Other Engineering Support. This subfunction is the "catchall" of Public Works budgeting, covering such diverse functions as Public Works Engineering, Leasing Real Property and Garbage Collection. Figure 13-15 is a typical P1 budget submission. Several

From	To	Budget	Report	For Period Ending
U.S. NAVAL ACTIVITY NORFOLK, VA. 23511 UIC 99999	COMNAVTYCOM	[X] Final [ ] Mid-Month	[ ] Initial [ ] Summary	30 JUNE 197__

Budget Activity	Budget Submitter	Appropriation Data	Cost Center	Reporting Fiscal Officer (Signature, rank and date of submission)
U.S. NAVAL ACTIVITY NORFOLK, VA. 23511 UIC 99999	COMNAVTYCOM	17_1804.602X	PUBLIC WORKS DEPARTMENT	JOHN D. DOE, CDR, SC, USN

FY Plan Line	Cost Account	Description		BCAs Units	Man-Hours: Military	Man-Hours: Civilian	Cumulative Expenses: Military Pay	Civilian Labor	Material & Supplies	Commercial Contracts	Other	Total Expenses
(a)	(b)	(c)		(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)
M1	7110	TRAINING	MSF	197				14.1	5.9	.2	.4	20.6
M1	7160	ADMINISTRATION	MSF	130			2.2	11.4	4.1	1.5	.2	19.4
M1	7100	TOTAL BUILDINGS	MSF	327			2.2	25.5	10.0	1.7	.6	40.0
M1	7410	UNPROVED GROUNDS	AC	269				24.5	3.1	.5		28.1
M1	7440	UNIMPROVED GROUNDS	AC	510				.3				.3
M1	7400	TOTAL GROUNDS						24.8	3.1	.5		28.4
M1	7630	HEAT .75 to 3.5 BH	MBH	38584				14.3	2.4	1.6		18.3
M1	7650	WATER FACILITIES	MILGAL	2400			2.8	3.1	3.5			9.4
M1	7600	TOTAL UTILITY PLANTS					2.8	17.4	5.9	1.6		27.7
M1	7710	ELECTRICAL	LF	182111				14.0	5.1			19.1
M1	7770	GAS DIST SYS	LF	2131				4.3	1.0			5.2
M1	7790	FIRE ALARMS	BX	51				2.4	1.2	2.1		5.7
M1	7700	TOTAL UTIL DIST SYS						20.7	7.3	2.1		30.1
M1	7910	MAINT SHOP OH					10.7	363.7	12.7		2.8	389.9
M1	7930	CONST & GR MAINT EQP					2.0				57.4	59.4
M1	7900	TOTAL RPM OH					12.7	363.7	12.7		60.2	449.3
M1		TOTAL DIRECT RPM					17.7	452.1	39.0	5.9	60.8	575.5
MZ	7000	REIMB COSTS					3.2	67.3	11.0		.6	82.1
M		TOTAL RPM					20.9	519.4	50.0	5.9	61.4	657.6
		LESS: REIMBURSABLES										(82.1)
M1	7999	CHANGE IN UFO										-
		LESS: MILITARY										(17.7)
		NEW OBLIGATION AUTHORITY										557.8

FIGURE 13-10
OPERATING BUDGET/EXPENSE REPORT
(SUBFUNCTIONAL M1)

MAINTENANCE CLASSIFICATION	CAN	TOTAL CURRENT YEAR REQUIREMENT	CURRENT YEAR CONTROL	ESSENTIAL CURRENT YEAR UFD (Note 3)
(1)		(2)	(3)	(4)
1 Routine/recurring maintenance (in house) station forces	various			
2. Routine/recurring maintenance (commercial contract) (Note 1)	various			
3 Minor and specific maintenance and repair (commercial contract)	various	(2)		
4. Minor maintenance and repair (in house)	various	(2)		
5. Specific maintenance and repair (in house)	various	(2)		
6. a. Emergency service work (line six)	7820			
b. Emergency service work (city svc)	7820			
7. Non-capitalized Minor Construction	7860			
8. Maintenance shop overhead	7910			
9. Maintenance control division	7920			
10. Maintenance and repair construction equipment	7930			
11 TOTAL				

Note 1: Include maintenance dredging chargeable to M-1 in this line

Note 2: The sum of these amounts (lines 3, 4, and 5 of column 2) should be developed from an *up-date* of the amounts reflected on the latest Annual Inspection Summary (less Housing), Deficiency Codes 2, 3, and 4.

Note 3: Essential UFD - that work (part of column 2) that is considered essential for accomplishment within the current year, but for which no funds have been provided in column 3. (The sum of the amounts in columns 3 and 4 a the Total Requirement, column 2.)

IMPORTANT: Do *not* include any amounts chargeable to CANs 7820, 7830, 7860, 7910, 7920, 7930 in lines 1 thru 5.

[1]This is Exhibit A-1 mentioned in Figure 13-9.

1.	Current Year NOA Control (line 11, column 3 of Exhibit A-1)	$
2.	Budget Year Programmed Reduction of UFD Current Year UFD (sum of lines 3, 4, and 5, column 4 of Exhibit A-1 divided by five $UFD_____ divided by 5	$
3.	Other Current Year UFD (sum of lines 1, 2, 6, 7, 8, 9, & 10, column 4 of Exhibit A-1) Identify and explain in narrative justification.	$
4.	Budget Year Changed Unit Quantity Requirements (net unit quantity changes from column 4 of Exhibit A-3, M-1 only).	±$
5.	Other Budget Year Changed Requirements. Identify and explain in narrative justification.	±$
6.	Budget Year Total Budget Requirement (sum of lines 1 through 5)	$
7.	Change in Unfilled Orders	±$
8.	New Obligation Authority (Note 1)	$

Note 1: This amount should be used as the New Obligation Authority amount on the Budget Year NAVCOMPT Form 2168. If a Budget Control Amount has been provided, the Control Amount should be used as the New Obligation Authority amount on the budget year NAVCOMPT Form 2168.

This is exhibit A-2 mentioned in Figure 13-9

FIGURE 13-12
BUDGET WORKSHEET
FUNCTIONAL CATEGORY M-1

FIGURE 13-13
CHANGED UNIT QUANTITY REQUIREMENTS FY___

FUNCTIONAL CATEGORY M-1 ☐ Check applicable
FUNCTIONAL CATEGORY P-1 ☐ block

CAN	(+) OR (-) CHANGED UNIT QUANTITY	X	UNIT COST	=	CHANGED AMOUNT	ITEM CHANGE
(1)	(2)		(3)		(4)	(5)

FROM	TO	BUDGET	REPORT	FOR PERIOD ENDING
U.S. NAVAL ACTIVITY NORFOLK, VA. 23511 UIC 99999	COMNAVTYCOM	[X] YEAR [ ] PROJECTION	[ ] YEAR [ ] SUMMARY	30 JUNE 197__

BUDGET FOR	BUDGET SUBMITTED BY	APPROPRIATION DATA	COST CENTER	REPORTING FISCAL OFFICER (SIGNATURE, NAME AND DATE OF CERTIFICATION)
U.S. NAVAL ACTIVITY NORFOLK, VA. 23511 UIC 99999	COMNAVTYCOM	17_1804 602X	PUBLIC WORKS DEPARTMENT	JOHN D. DOE, CDR, SC, USN

FUNC CAT	COST ACCOUNT	DESCRIPTION	WORK UNITS	MAN-HOURS: MILITARY	MAN-HOURS: CIVILIAN	CUMULATIVE EXPENSES: MILITARY SERVICES	CIVILIAN LABOR	MATERIAL AND SUPPLIES	COMMERCIAL CONTRACTS	OTHER	TOTAL EXPENSES
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
R1	7010	MINOR CONST							15.6		15.6
R2	7000	REIMB							3.0		3.0
R		TOTAL MINOR CONST							18.6		18.6
R1	7999	LESS REIMBURSABLES									(3.0)
		CHANGE IN UFO									-
		LESS: MILITARY									-
		NEW OBLIGATION AUTHORITY									15.6

FIGURE 13-14
OPERATING BUDGET/EXPENSE REPORT

FROM	TO	BUDGET	REPORT	FOR PERIOD ENDING
U.S. NAVAL ACTIVITY NORFOLK, VA. 23511 UIC 99999	COMNAVTYCOM	[X] YEAR [ ] PROJECTION	[ ] YEAR [ ] SUMMARY	30 JUNE 197__

BUDGET FOR	BUDGET SUBMITTED BY	APPROPRIATION DATA	COST CENTER	REPORTING FISCAL OFFICER (SIGNATURE, NAME AND DATE OF CERTIFICATION)
U.S. NAVAL ACTIVITY NORFOLK, VA. 23511 UIC 99999	COMNAVTYCOM	17_1804.602X	PUBLIC WORKS DEPARTMENT	JOHN D. DOE, CDR, SC, USN

FUNC CAT	COST ACCOUNT	DESCRIPTION		WORK UNITS	MAN-HOURS: MILITARY	MAN-HOURS: CIVILIAN	CUMULATIVE EXPENSES: MILITARY SERVICES	CIVILIAN LABOR	MATERIAL AND SUPPLIES	COMMERCIAL CONTRACTS	OTHER	TOTAL EXPENSES
(1)	(2)	(3)		(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
P1	9110	ADM PW	PWD POP	254				98.5	2.7		1.9	103.1
P1	9120	ENG PW	PWD POP	254				74.8	1.5			76.3
P1	9100	TOTAL ADM & ENG						173.3	4.2		1.9	179.4
P1	9210	CUST SERV	SF	1182000								
P1	9230	REFUSE & GARBAGE DSP	CY	30700			38.0	41.6	4.3	60.7		144.6
P1	9240	EXT CLEAN-UP	SY	3729900						32.0		32.0
P1	9260	INTRA-STATION MOVES	BASPOP	4400				13.1	3.0			16.1
P1	9290	OTHER MAIN SERV	CPV	39						31.8		31.8
P1	9240	GEN SERV SNOP OH						5.9	.9			6.8
P1	9200	TOTAL OTHER PW OPS						28.6	.7			29.3
							38.0	89.2	8.9	124.5		260.6
P1	9520	RENT/LEASE/ESMT R/P								6.9		6.9
P1	9380	FIRE PORT STRUCT	NOFF	12								
P1	9300	TOTAL OTHER PW						110.2	2.6			112.8
								110.2	2.6	6.9		119.7
P1		TOTAL DIR ENG SUP										
PZ	9000	REIMB OTHER ENG					38.0	372.7	15.7	131.4	1.9	559.7
P		TOTAL OTHER ENG SUP						61.9	3.8	41.0		106.7
							38.0	434.6	19.5	172.4	1.9	666.4
		LESS: REIMBURSABLES										
P1	9999	CHANGE IN UFO										(106.7)
		LESS: MILITARY										-
		NEW OBLIGATION AUTHORITY										(38.0)
												521.7

FIGURE 13-16
BUDGET YEAR FY____
BUDGET WORKSHEET – FUNCTIONAL CATEGORY P-1

1.	Current Year NOA Control (line 12, column 3 of Exhibit A-4)	$
2.	Current Year UFD (line 12, column 4 of Exhibit A-4)	$
3.	Budget Year Changed Unit Quantity Requirements (Net unit quantity changes from column 4 of Exhibit A-3, P-1 only)	±$
4.	Other Budget Year Changed Requirements. Identify and explain in narrative justification.	±$
5.	Budget Year Total Budget Requirement (sum of lines 1 through 4)	$
6.	Change in Unfilled Orders	±$
7.	New Obligation Authority (Note 1)	$

Note 1: This amount should be used as the New Obligation Authority amount on the Budget Year NAVCOMPT Form 2168. If a Budget Control Amount has been provided, the Control Amount should be used as the New Obligation amount on the Budget Year NAVCOMPT Form 2168.

FIGURE 13-17
FUNDS DISTRIBUTION PLAN CURRENT YEAR FY____
FUNCTIONAL CATEGORY P-1

CLASSIFICATION	CAN	TOTAL CURRENT YEAR REQUIREMENT	CURRENT YEAR CONTROL	ESSENTIAL CURRENT YEAR UFD (Note 3)
	(1)	(2)	(3)	(4)
1. Administration Public Works	9110			
2. Engineering, Public Works	9120			
3. Custodial Services (in house only)	9210			
4. Custodial Services (commercial contract only)	9212			
5. Insect and Rodent Control	9220			
6. Refuse & Garbage Collection & Disposal	9230			
7. Intra-Station Moves	9260			
8. General Service Shop Overhead	92A0			
9. Fire Protection, Structural	9380			
10. Fire Protection, Aircraft & Rescue	9390			
11. Other Direct Engineering Suppot (Note 1)	various			
12. TOTAL				

NOTE 1: The amounts to be included in line 11, columns 2, 3, and 4 are those amounts for CANs 92B0, 9213, 92D0, 9240, 9250, 9280, 9290, 9320 and 9340 *only*.

NOTE 2: The total current year requirement is the amount needed to perform assigned tasks, *regardless* of funding constraints, column (2).

logical point to develop data on the items contained in this subfunction which are controlled through the Maintenance Management System. The Maintenance Division must contribute to Service Shop Overhead, and the Engineering Division and Administrative Division Directors must develop the requirements of their divisions. The Administrative Director is a good coordination point for this subfunction. Figure 13-16 and 13-17 show a Funds Distribution Plan format for developing total requirements for this subfunction. The rationale of development is identical with that discussed earlier for subfunction M1. Note on Figure 13-15, that PZ is added to the total activity direct requirements to obtain total other engineering support.

D. Subfunction N - Utilities. The first statement that must be made about the function N Budget is that it is filled out differently from those for other subfunctions. Figure 13-18 shows a typical utilities budget. Note that the first set of entries are gross figures (with reimbursements and plant and system *maintenance* costs included), the NZ entries show anticipated reimbursements for each utility, and the third set of entries show net costs with reimbursements deducted (but *maintenance* costs still included). The Allocated Cost Credit (Cost Account 89Z2) deducts the maintenance costs (which are charged to subfunction M1). The primary source of information for the N1 Budget is the Mid-Year NAVCOMPT 2127 (Utilities Cost Analysis Report). Projections forward can be made by computing *Utilities Targets* for projected new or dropped facilities as planned in the SFP and making necessary adjustments for anticipated cost changes. The Utilities Division Director (or Utilities Engineer) should be adept at such projections.[1]

E. Subfunction L7 - Transportation. The sequence of entries on the Transportation Budget, an example of which is shown in Figure 13-19, is the same as for utilities. Gross entries (including reimbursements) are made out of LZ, followed by net entries. The Mid-Year Transportation Operations and Maintenance Cost Report provides an excellent basis of projection for the Transportation Budget. Projections of future unit costs for labor, materials, etc., can be made from this report. The work units total, miles or hours of operation, are the Annual Targets discussed in Chapter 8. Unit miles (or hours) x Unit Costs = Total Expenses. The Transportation Division Director should be adept at such projections.

13.2.12 Completing the Budgeting Cycle - Feedback on Performance (The Cost Collection System). If we are to complete the budgeting loop by measuring progress against our financial plan so that adjustments can be made, the Comptroller must have a method to trap the actual costs and array them in the same format as our plan. The Accounting System, subdividing costs successively into functional Categories, Subfunctional Categories and Cost Accounts, and in the matrix format, by elements of expense, is utilized for this purpose. Within the Cost Accounts and Elements of Expense, the system utilized Job Orders to provide further breakdowns for use with our management systems. These are, in essence, band accounts established for particular reasons. Some, called "Standing Job Orders", are open-ended. These are utilized to collect cost of a continuing nature, such as utility bills or service calls. Others, called "Specific Job Orders," are opened for specific undertakings, such as a specific reimbursements within a cost account (the

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PUBLIC WORKS
DEPARTMENT

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N1	8110	PROP PLANT OPR	MILBTU	59485		4.2	78.3	48.3		.5	131.3
N1	8170	TRANSFER ACCT 7630								18.3	18.3
N1	8180	STEAM HW/SMALL	MILBTU	59485		4.2	78.3	48.3		18.8	149.6
N1	8350	DISTR SYS OPR	MWH	38004			94.8	589.9		(1.0)	683.7
N1	8350	PURCHASED ELEC							636.4		636.4
N1	8360	TRANSFER ACCT 7710								19.1	19.1
N1	8360	ELECTRICITY	MWH	38004			94.8	589.9	636.4	18.1	1339.2
N1	8410	POTABLE WATER PLT	MGAL	208425			23.5	100.1		.5	124.1
N1	8450	PUR POTABLE WATER							583.2		583.2
N1	8460	PUR POT WATER NAVACT								.1	.1
N1	8470	TRANSFER ACCT 7650								6.6	9.4
N1	8480	POTABLE WATER	MGAL	208425		2.8					
N1	8610	PLANTS PUR 5.25 TN T/C		350		2.8	23.5	100.1	583.2	7.2	716.8
N1	8620	AIR CONDITIONING T/C		350			20.7	2.0			22.7
N1	8710	OTHER UTILITY DIST					20.7	2.0			22.7
N1	8760	TRANSFER ACCT 7770					103.7	24.7			128.4
N1	8780	FUELS ISSUED	MILBTU							5.3	5.3
N1	8790	OTHER UTILITY SYS						13.2			13.2
N1	8000	TOTAL UTIL OPR O&M					103.7	37.9		5.3	146.9
NZ	8100	STEAM HW/SMALL	MILBTU	18213		7.0	439.9	778.2	1219.6	49.4	2375.2
NZ	8350	ELECTRICITY	MWH	375						70.1	70.1
NZ	8410	POTABLE WATER	MGAL	192113						998.2	998.2
NZ	8600	AIR CONDITIONING	T/C	112						645.4	645.4
NZ	8710	OTHER UTILITY SYS								9.1	9.1
NZ		TOTAL REIMB								21.3	21.3
N1	8100	STEAM HW/SMALL	MILBTU	41272						1744.1	1744.1
N1	8360	ELECTRICITY		37629		4.2				75.3	79.5
N1	8410	POTABLE WATER		16312						341.0	341.0
N1	8600	AIR CONDITIONING		238		2.8				68.5	71.3
N1	8710	OTHER UTILITY SYS								13.6	13.6
N1		TOTAL UTILITIES NET O&M								125.6	125.6
N1	8922	ALLOCATED COST CR				7.0				624.1	631.1
N1	8000	TOTAL UTIL OPS NET				2.8				49.3	52.1
N1	8999	CHANGE IN UFO				4.2				574.8	579.0
		LESS MILITARY									(4.2)
		NEW OBLIGATION AUTHORITY									574.8

FIGURE 13-18

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DEPARTMENT

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| FUNC CODE ACCT CLASS | COST ACCOUNT | DESCRIPTION | | WORK UNITS | MAN-HOURS | | |

forecast all costs associated with these tasks and to quote the customer a fixed price in most cases. The customer must provide funds for the cost of his requirements just as he must when he buys from commercial firms. As a result, the customer is motivated to order only those items and services for which there is a real need.

Second, cost-accounting employed by NIF activities enables management to *identify costs to a particular job.* This identification is essential for establishing management control of costs, for developing standards for pricing, and for providing a means of projecting realistic budgets based on expected future workloads. This identification also provides a means of measuring efficiency since all work performed is expressed in one common denominator - dollars.

Third, a *revolving fund* provides flexibility to utilize dollars as may be operationally required, relatively free from the Congressional appropriation cycle with its established spending limitations. Money is centralized under local jurisdiction.

While the reason for adopting a NIF system was to create an environment conductive to more responsible and efficient management, the NIF system is no more effective than the manager's ability to use the tools it provides. Therefore, it is very important that the NIF manager be familiar with the financial aspects of NIF.

13.3.3 Fund Management. The Comptroller of the Navy is responsible for the initial cash balance (Corpus) of the NIF, and the allocation of cash to individual activities. He is also responsible for the development of accounting policies and procedures common to all NIF activities (published in the NAVCOMPT Manual) and detailed accounting procedures common only to activity groups with similar functions (published in industrial fund handbooks). NAVCOMPT approval is also required on all Automatic Data Processing applications.

Instructions for preparation and submission of NIF budgets and quarterly financial statements are issued by NAVCOMPT. These budgets and financial statements are also reviewed, analyzed, adjusted as necessary, and summarized for final submission to the Department of Defense.

Activity command and management are exercised through the chain of command. Workload assignments are worked out between the responsible management command or office and the activity on a quarterly basis and translated into manpower and other resource requirements.

13.3.4 Industrial Fund Planning and Budgeting. The relationship between industrial-commercial activities and customers, places a special responsibility on the Commanding Officer and his staff for accurately forecasting workload or sales. The workload forecast forms the basis for the production plan or the work programmed, which, in turn, largely governs the staffing pattern, the budget, and other elements of production.

The work must be planned to make the best and most effective use of facilities. A poor workload forecast results in inefficient production an consequent distorted and erratic costs that disrupt customers' budget planning. Because of military necessity, Civil Service rules, etc., there are relatively high fixed costs and high shutdown costs at a naval activity. Such costs can be accurately determined and applied to the units produced. With an even, regular production schedule, they pose no problem, but with an erratic schedule, they add to unit costs.

Various methods of estimating and predicting sales are based largely on analyses of past orders and close coordination with planning agencies. The activity must coordinate closely with the headquarters component that issues its production directives and, through that component, with its customers, so that it can schedule production as evenly as possible.

Navy industrial-commercial activities are budgeted for and are operated in almost the same manner as a private business, their budget requirements for the most part being on end-use objectives.

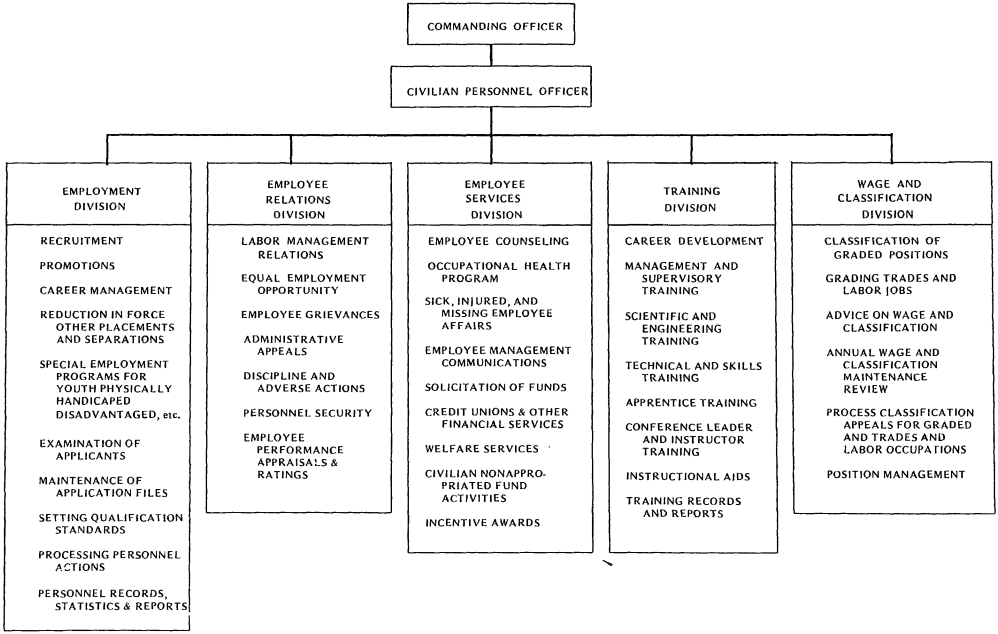
Each industrial-commercial activity has its own internal operating budget. Such internal budgets provide a way to anticipate varying costs and needs for funds based on the forecasts of operating workloads furnished by the parent bureau. These budgets must accurately forecast costs and whether the activity will operate at capacity or near shutdown. In general, these budgets are divided into two-principal segments - productive work and overhead expense. They are prepared on a long-range (fiscal year or semi-annually) or a short-range (quarterly) basis, and are reviewed and adjusted as circumstances warrant.

13.3.5 What Difference Does NIF make to the Public Works Officer? In some ways, quite a bit - in others, little. In the case of a production activity, such as a shipyard, the main difference is that the principal financial support for the Public Works Department must be generated by overhead charges to the production customers. All Public Works services at such a NIF activity are overhead except direct work on the product produced by the activity (such as Public Works welders working on a ship being repaired at a shipyard) and family housing services. Family Housing is treated as a production customer (and therefore must pay a share of the activity overhead). At NIF activities where Public Works is an overhead function, development of requirements for each fiscal year should be developed on the same basis as formerly described for Facilities Management, utilizing a similar budget panel. The big difference at the NIF activity is that the PWD need go no higher than the activity Commanding Officer for approval of his budget. Family Housing budgeting is performed exactly as for other activities except that the overhead charges of the NIF activity must be applied.

3.3.6 What About Public Works Centers? PWC's are NIF activities whose product is Public Works Services, Customer activities therefore support the full cost of operating the Center, including overhead.

Resources for such execution of these laws, regulations and policies are part of the general staff of the Commanding Officer. The staff assistant for civilian personnel is generally vested with the title: Civilian Personnel Officer who heads up the department entitled Civilian Personnel. Functions and organization of this department are shown in Figure 14-1.

One of the most important things for a Public Works Officer (PWO) to remember is that the Civilian Personnel Officer is a key member of management and should be consulted on any and all matters of civilian personnel administration.



ORGANIZATION CHART OF A
TYPICAL ACTIVITY CIVILIAN PERSONNEL OFFICE
FIGURE 14-1

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PART 1 - GENERAL

14.1.1 Civil Service Reform Act - 1978 and its Organization. On October 13, 1978, President Carter signed the Civil Service Reform Act, designed to improve government efficiency and to balance management authority with employee protections. Among the major features of the Act are an independent and equitable appeals process; protection against abuse of the merit system; and incentives and rewards for good work and skilled management.

Most of the provisions of the Civil Service Reform Act took effect in January 1979.

Together with these reforms, Congress approved Reorganization Plan No. 2, also effective in January 1979, to divide the functions of the present U.S. Civil Service Commission between two new agencies-an Office of Personnel Management (OPM) and an independent Merit System Protection Board (MSPB). The Plan also establishes a new Federal Labor Relations Authority (FLRA) to oversee Federal labor-management policies and to provide leadership in administering these policies.

Under a separate authority, Reorganization Plan No. 1 of 1978, the Equal Employment Opportunity Commission will take over from the Civil Service Commission the leadership and enforcement of provisions of the Civil Rights Act affecting the Federal Government. This transfer of functions, also to occur in January 1979, will include hearing and resolving certain discrimination complaints.

The New Organization for Personnel Management

As a result of Reorganization Plan No. 2, the U.S. Civil Service Commission will be abolished in January 1979, and its functions divided between two new agencies. An Office of Personnel Management (OPM) will provide leadership in managing the Federal work force. An independent Merit Systems Protection Board (MSPB) will resolve employee complaints and appeals. A third new agency, the Federal Labor Relations Authority (FLRA), will administer the Federal labor relations program and investigate unfair labor practices.

The functions of the new agencies are described below:

Office of Personnel Management (OPM). The Office of Personnel Management wil help the President carry out his responsibilities for management of the Federal work force. The Office will be headed by a director and deputy director appointed by the President and confirmed by the Senate.

OPM will take over many of the current responsibilities of the Civil Service Commission. These include central examining and employment operations, personnel investigations, personnel program evaluation, executive development, and training. OPM will also administer the retirement and insurance programs for Federal employees and will exercise management leadership in labor relations and affirmative action.

Merit Systems Protection Board (MSPB). The Merit Systems Protection Board will be the independent agency to safeguard both the merit system and individual employees against abuses and unfair personnel actions. The MSPB will be headed by three board members, appointed on a bipartisan basis to 7-year nonrenewable terms. The Board will hear and decide employee appeals and order corrective and disciplinary actions against an employee or agency when appropriate. It will also oversee the merit system and report annually to Congress on how the system is functioning.

The Federal Employee Appeals Authority and Appeals Review Board will be abolished when MSPB is created.

Within the MSPB will be an independent Special Councel, appointed by the President for a 5-year term. The Special Counsel will have the power to investigate charges of prohibited personnel practices, including reprisals against whistleblowers; to ask MSPB to stop personnel actions in cases involving prohibited personnel practices; and to bring disciplinary charges before the MSPB against those who violate merit system law.

Federal Labor Relations Authority (FLRA). The Federal Labor Relations Authority will oversee the creation of bargaining units, supervise elections, and deal with labor-management issues in Federal agencies. The FLRA will be headed by a chairman and two members, who will be appointed on a bipartisan basis to staggered 5-year terms. (This agency will replace the Federal Labor Relations Council.)

Within the FLRA, a General Counsel, appointed to a 5-year term, will investigate alleged unfair labor practices and prosecute them before the FLRA. Also within the FLRA and acting as a separate body, the Federal Service Impasses Panel will, as it does now, resolve negotiation impasses. See Figure 14-2.

14.1.2 Merit System Principles and Prohibitive Personnel Practices

Merit System Principles

Prohibited Personnel Practices

For the first time in law, nine basic merit practices will govern all personnel practices in the Federal Government. The law also defines prohibited practices, and requires disciplinary action to be taken against offenders.

Personnel Practices and Actions in the Federal Government Require:

- Recruitment from all segments of society, and selection and advancement on the basis of ability, knowledge, and skills, under fair and open competition.

- Fair and equitable treatment in all personnel management matters, without regard to politics, race, color, religion, national origin, sex, marital status, age, or handicapping condition, and with proper regard for

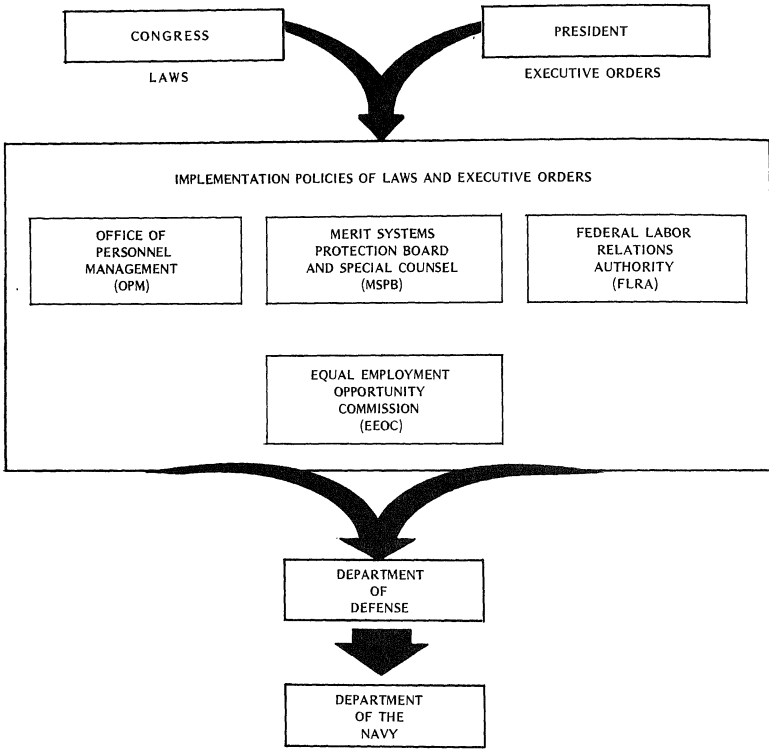

FIGURE 14-2
FEDERAL CIVILIAN PERSONNEL ORGANIZATION

- High standards of integrity, conduct, and concern for the public interest.
- Efficient and effective use of the Federal work force.
- Retention of employees who perform well, correcting the performance of those whose work is inadequate, and separation of those who cannot or will not meet required standards.
- Improved performance through effective education and training.
- Protection of employees from arbitrary action, personal favoritism, or political coercion.
- Protection of employees against reprisal for lawful disclosures of information.

Officials and Employees Who Are Authorized to Take Personnel Actions Are Prohibited From:

- Discriminating against any employee or applicant.
- Soliciting or considering any recommendation on a person who requests or is being considered for a personnel action unless the material is an evaluation of the person's work performance, ability, aptitude, or general qualifications, or character, loyalty, and suitability.
- Using official authority to coerce political actions, to require political contributions, or to retaliate for refusal to do these things.
- Willfully deceiving or obstructing an individual as to his or her right to compete for Federal employment.
- Influencing anyone to withdraw from competition, whether to improve or worsen the prospects of any applicant.
- Granting any special preferential treatment or advantage not authorized by law to a job applicant or employee.
- Appointing, employing, promoting, or advancing relatives in their agencies.
- Taking or failing to take a personnel action a a reprisal against employees who exercise their appeal rights; refuse to engage in political activity; or lawfully disclose violations of law, rule, or regulations, or mismanagement, gross waste of funds, abuse of authority, or a substantial and specific danger to public health or safety.
- Taking or failing to take any other personnel action violating a law, rule, or regulation directly related to merit system principles.

Performance appraisals under the new systems will be a basis for decisions to train, reward, assign, promote, demote, retain, or remove employees (for reasons other than misconduct). Agencies will be encouraged to have employees participate in establishing performance objectives for their jobs.

Specifically, new appraisal systems must make it possible for agencies to:

- advise employees on what the critical elements of their jobs are;
- establish performance standards that will permit accurate evaluation of job performance on the basis of objective, job-related criteria;
- assist employees to improve unacceptable performance; and
- reassign, demote, or remove those employees whose performance continues to be unacceptable, but only after they have been given an opportunity to show that they can perform acceptably and have failed to improve.

The Act requires agencies to inform employees of the critical elements and performance standards of their jobs by October 1, 1981. During the iterim period, OPM will require agencies to provide written warnings to employees prior to the initiation of demotion or removal actions based on poor performance.

If an agency proposes to remove or demote an employee because of poor performance, and if that employee's performance becomes acceptable and remains acceptable for one year, the record of the poor performance will be removed from agency files.

14.1.4 New Procedures for Adverse Actions and Appeals. Beginning in January 1979, adverse actions, such as removals, suspensions for over 14 days (instead of 30), and reductions in grade or pay, may be appealed to the Merit Systems Protection Board. Employees in organized bargaining units may be able under their negotiated agreements to ask their union to seek arbitration instead of appealing to MSPB.

Appeals now pending before the Federal Employee Appeals Authority or the Appeals Review Board will be sent to MSPB for completion.

If an agency proposed to demote or remove an employee because of unacceptable performance, that employee is entitled to:

- receive written notice from the agency 30 days before the proposed action;
- be represented by an attorney or other representative;
- answer orally and in writing within a reasonable time; and
- receive a written decision (agreed to by a higher level supervisor than the one who proposed the action) which states the reason for the action.

performance, an agency's decision to remove an employee must be suported by a preponderance of evidence.

Any agency's decision will not be upheld if an employee shows that the decison:

- was based on harmful procedural errors on the part of the agency;
- was based on any prohibited personnel practice; or
- was unlawful.

The same standards will apply whether the adverse action is appealed to MSPB or resolved by an arbitrator.

Agencies whose decisions are reversed may be required in certain cases to pay employees for reasonable attorney fees. These payments might occur in cases where agencies engaged in prohibited personnel practices.

Decisions or orders of MSPB will be appealable to the U.S. Court of Appeals, or, in matters of pay, the Court of Claims.

Complaints Involving Discrimination

In January 1979, there will be new procedures to handle discrimination complaints in two situations.

The first situation includes agency actions which the employee claims were discriminatory and which are of a type that may be appealed to MSPB (e.g. removals and demotions). These are called "mixed cases." An agency will have 120 days to try to resolve the discrimination issue by using counseling and investigation. If an employee is not satisfied with the final agency decision, or if time runs out, that employee may appeal to MSPB. Instead of going to MSPB with a "mixed case," the union may call for grievance arbitration.

An employee may not directly appeal a "mixed case" to the Equal Employment Opportunity Commission (EEOC). However, an employee may ask EEOC to review the MSPB decision. Other steps would be followed if EEOC and MSPB do not agree.

The second type of situation includes discrimination complaints about actions or failures to act which are not appealable to MSPB (e.g. promotions or working conditions.) In this case, an employee may appeal the final agency action to EEOC, or a union may call for grievance arbitration procedures. Appeals to EEOC will follow the current procedures for processing discrimination complaints. MSPB will play no part in these decisions.

Regardless of whether the decision is made by MSPB, EEOC, or an arbitrator, an employee will have the right to appeal that decision to a U.S. District Court.

EEOC will also be responsible for approving agency goals and timetables in affirmative action plans.

14.1.5 Special Counsel Protections. The Special Counsel to the Merit Systems Protection Board will be, in effect, an independent investigator and prosecutor. This individual will be appointed by the President for a 5-year term.

- reprisals against whistleblowers;
- engaged in prohibited political activity;
- withheld information under the Freedom of Information Act without just reason;
- discriminated in violation of law; or
- carried out activities prohibited by any other civil service law, rule, or regulation.

After these investigations, the Special Councel may bring disciplinary charges before the MSPB against officials if the evidence shows a probable violation. They may be reprimanded, removed, fined, or barred from Federal employment.

As a new feature, the Special Counsel will have authority to protect *whistleblowers*. Whistleblowers are those employees or applicants who expose practices which they reasonably believe to be a violation of law, rule, or regulation, or which they believe constitute mismanagement, gross waste of funds, abuse of authority, or a danger to public health or safety. Employees or applicants who make disclosures specifically prohibited by law or Executive order will not be protected.

The Special Counsel will investigate charges of reprisal without revealing the identity of the whistleblower, and may petition any member of the MSPB to stop any personnel action while the matter is under investigation. The results of the investigation will be reported to the whistleblower.

Agencies may be required to conduct investigations and prepare reports on the substance of complaints made by whistleblowers. In such cases, the Special Counsel will review the agency reports to determine whether they contain sufficient information and whether the findings appear reasonable. Copies of the agency reports will be sent to the President and to Congress, and to the persons who filed the complaints.

14.1.6 Changes in Federal Labor Relations. The Civil Service Reform Act contains a number of new provisions which will clarify the roles and responsibilities of labor organizations and which will, to an extent, expand the rights of employees in collective bargaining units.

The Act affirms the basic rights of Federal employees to form, join, and assist labor organizations (or to refrain from doing so). It prohibits strikes and work slowdowns, as well as picketing that interferes with government operations.

For most matters, employees working in organized bargaining units must use the grievance arbitration procedures negotiated by the union. However, an exception is made for adverse actions and discriminations complaints. In such cases, employees may use either the negotiated procedures or the appeals procedure. The union is required to represent all employees in the bargaining unit who choose the negotiated procedures, whether or not they are members of the union.

The issues subject to collective bargaining will remain generally the same as at present. However, departments and agencies (such as OPM, OMB, and GSA) which issue government-wide regulations affecting Federal employees,

one bargaining unit, a majority of affected employees will be able to negotiate without regard to their own agency's regulations on matters otherwise within the scope of bargaining.

The Act makes all types of management actions subject to collective bargaining unless specific "management rights" exist. These reserve to agency officials the authority to make decisions and take actions which are not subject to the collective bargaining process, and exclude bargaining on Federal pay and benefits or nonvoluntary payments to unions by employees. The changes in the management rights area will: (1) *prohibit* agencies from bargaining on mission, budget, organization, number of employees, or internal security; and (2) *permit*, but not require, them to negotiate over the methods, means, and technology of conducting agency operations. Management will have the right to determine whether vacant positions may be filled only by the persons within the agency or by persons within and outside the agency.

Other new provisions in the Act include:

- A time limit of 45 days for agency heads to decide if a proposed action is negotiable. This decision will be appealable to the Federal Labor Relations Authority.
- Court enforcement of FLRA decisions and orders, including judicial review in unfair labor practice cases.
- Provisions for back pay and attorney fees for employees subject to unjustified or unwarranted personnel actions.
- Dues withholding-based on voluntary allotments by employees-at the exclusive union's request. (Allotments are irrevocable for one year, and the withholding service is at no charge to the employee or labor organization.)
- Official time during regular working hours for employees representing unions in negotiations.

14.1.7 Other Features of the Civil Service Reform Act

- Agencies will conduct MINORITY RECRUITMENT PROGRAMS to help eliminate underrepresentation of minority groups in the Federal work force. The Office of Personnel Management and the Equal Employment Opportunity Commission will provide guidelines and assistance.

- NONPAID WORK BY STUDENTS in connection with educational programs is permitted, provided they do not reduce opportunities for regular employees.

- Employees who would otherwise be separated under reductions inforce may be RETRAINED for jobs in other agencies.

- Until January 1981, the TOTAL NUMBER OF CIVILIAN EMPLOYEES in the Executive branch is limited to the number of employees on board as of September 30, 1977. (Postal Service and Postal Rate Commission employees are excluded from this total.)

- Employees who are age 50 with 20 years of service, or who, regardless of age, have 25 years of service, may

- OPM must notify the U.S. Employment Service about competitive examinations it administers. Agencies must provide both OPM and the U.S. Employment Service EMPLOYMENT INFORMATION about positions for which they are seeking candidates outside of the civil service system.

- THE MOBILITY PROGRAM authorized the Intergovernmental Personnel Act has been extended to include additional types of organizations and individuals. Federal employees who accept these assignments must return to the Federal Government for a period equal to that of the assignment.

- Subject to its standars and review, OPM may DELEGATE AUTHORITY FOR PERSONNEL MANAGEMENT FUNCTIONS, including certain competitive examinations, to the heads of agencies employing persons in the competitive service.

- The COMBINED RETIREMENT PAY AND FEDERAL CIVILIAN SALARY received by future retirees of the uniformed services may not exceed the pay for Executive Level V.

- Federal agencies are authorized to adopt OPM's MERIT SYSTEM STANDARDS as a personnel requirement for grants to state and local governments.

PART 2 - The Navy Department and Civilian Personnel.

14.2.1 Organization and Functional Responsibilities for Civilian Personnel Management

A. The Secretary of the Navy retains and delegates the following functions to the Assistant Secretary of the Navy (Manpower, Reserve Affairs and Logistics): See Fig. 14-3.

1. Formulation and issuance of Department of the Navy guidance/direction on civilian personnel policies and equal employment opportunity policies.

2. Representation of the Department of the Navy with the Office of the Secretary of Defense, the other military department, the Civil Service Commission, and other external agencies in all matters affecting civilian personnel and equal employment opportunity policy, except as delegated to the CNO in specific instances.

3. Formulation of Department of the Navy positions on legislation, proclamations, and executive orders affecting civilian personnel policy and equal employment opportunity policy.

4. Providing civilian personnel policy and equal employment opportunity policy guidance, and coordination to Department of the Navy nonappropriated fund employees.

5. Monitoring and evaluation of Department of the Navy civilian personnel, Equal Opportunity and Equal Employment Opportunity programs to assure effectiveness and compliance with law, regulations and SECNAV guidance

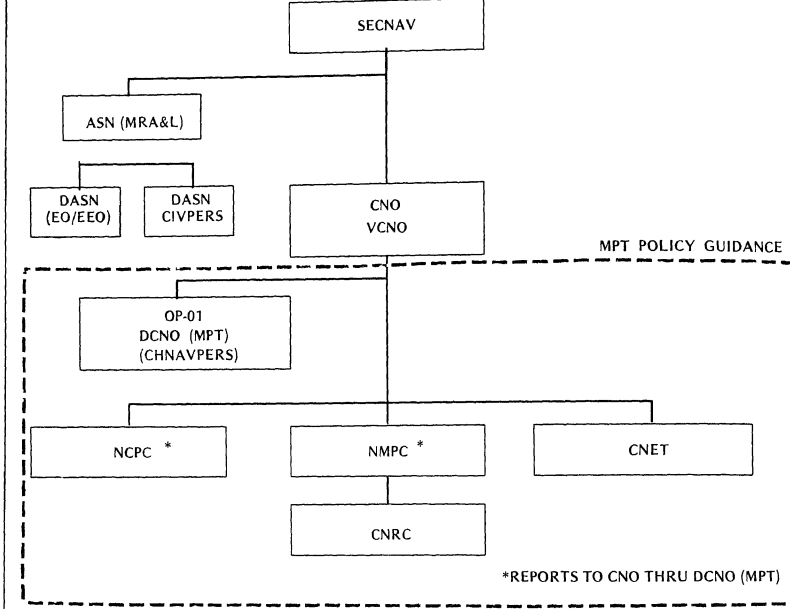

FIGURE 14-3
DEPARTMENT OF NAVY PERSONNEL COMMAND

B. The position of Deputy Assistant Secretary of the Navy (Civilian Personnel (DASN(CP)) in the Office of the Assistant Secretary of the Navy (Manpower, Reserve Affairs and Logistics) (ASN(M,RA&L)) is established. The DASN (CP) will assist the ASN (M,RA&L) in carrying out the following responsibilities:

1. Formulate and promulgate policy guidance on civilian personnel matters within the Department, covering appropriated and nonappropriated fund personnel.

2. Support the ASN as functional head of the civilian personnel career program and chairman of the Board of Governors of the program.

3. Coordinate and ensure appropriate consistency of application and representation of civilian personnel matters between Navy and Marine Corps.

4. Evaluate the civilian personnel programs of the

5. Formulate Department of the Navy position on legislation, proclamations and executive orders affecting civilian personnel policy.

6. Represent Department of the Navy with the Office of the Secretary of Defense, other military departments, Civil Service Commission and other external agencies on matters affecting civilian personnel policy, except as delegated to the CNO and the CMC in specific instances.

C. The DASN (CP) will:

1. Chair and administer the Department of the Navy Labor Relations Council with representation from the Secretariat, CNO, CMC, OGC and Special Assistant Non-appropriated Funds (SANAF).

2. Chair and administer the Department of the

3. Manage the on-site evaluation both of civilian personnel and of equal employment opportunity policy and program execution and performance.

D. The position of Deputy Assistant Secretary of the Navy (Equal Opportunity (DASN (EO)) is established. The DASN (EO) will assist the ASN (M,RA&L) in carrying out the following responsibilities:

1. Formulate and promulgate policy guidance on equal opportunity and equal employment opportunity within the Department covering military, active and reserve personnel, and civilian, both appropriated and non-appropriated fund, personnel.

2. Coordinate and ensure appropriate consistency of application and representation of equal opportunity/equal employment opportunity between the Navy and Marine Corps.

3. Evaluate the equal opportunity/equal employment opportunity programs of the Navy and Marine Corps with respect to effective policy and program execution and performance.

E. The DASN (EO) will chair and administer the Department of the Navy Equal Opportunity Policy Council with representatives from the Office of the Secretary of the Navy, CNO, CMC, OGC, and the Special Assistant to the ASN (M,RA&L) for Non-appropriate Funds.

F. In order to implement the transfer of functions and responsibilities, the CNO will establish the position of Assistant Deputy Chief of Naval Operations (Civilian Personnel/EEO), (ADCNO (CP/EEO)). Within the Office of the Chief of Naval Operations, the Deputy Chief of Naval Operations (Manpower, Personnel and Training), (DCNO (M,P&T)), will be tasked with implementation of CNO civilian personnel management and equal employment opportunity responsibilities. For the CNO, the DCNO (M,P&T), with the assistance of the ADCNO (CP/EEO), will be responsible for the following:

1. Develop and issue civilian Department of the Navy personnel directives and guidance (Civilian Personnel Instructions and Civilian Personnel Letters) based on policies established by the Secretary of the Navy.

2. Develop and issue Navy EEO implementing directives and guidance based on policies established by the Secretary of the Navy.

3. Coordinate the efforts of Navy commands and activities in civilian personnel and EEO policy implementation and program performance.

G. The incumbent of the position of Assistant Deputy Chief of Naval Operations (Civilian Personnel/EEO) will serve as Special Assistant for Civilian Personnel/EEO to the DASN (CP) and the DASN (EO). In this regard the ASN (M,RA&L) should participate in the selection process when EEO policy. In carrying out these responsibilities, the incumbent in this position is authorized to sign "By direction of the Secretary of the Navy" in:

1. Issuing Civilian Marine Personnel Instructions (CMPI's); according recognition to employee organizations at the national level and approving/disapproving negotiated labor agreements; and adjudication of wage grade and position classification appeals.

2. Approval of memoranda or agreements of understanding among the DOD components relating to uniform policies and practices. Many of these agreements involve setting conditions of employment for foreign national employees overseas. Significant or controversial subjects will be brought to the attention of, or referred for approval of, the Assistant Secretary of the Navy (Manpower, Reserve Affairs and Logistics).

3. Matters involving unresolved differences between CNO (ADCNO (CP/SACP/EEO) and CMC, will be referred to the Assistant Secretary of the Navy (Manpower, Reserve Affairs and Logistics) for resolution. Services provided to the Marine Corps will continue under a Memorandum of Agreement.

H. Redesignate the Capital Area Personnel Services Office, Navy (CAPSO-N) as the Navy Civilian Personnel Command and organizationally assign as a second echelon command, reporting to the CNO, with the following repsonsibilities:

1. Operate centrally managed civilian personnel programs, such as the Administrative Co-op, personnel and management training and centralized recruiting.

2. Command and manage the NCPC Field Divisions and centrally managed consolidated civilian personnel offices (third echelon organizations).

3. Operate the civilian personnel security program, and operate the civilian personnel management information system (MIS) for eventual integration in the total force MIS.

I. The Federal Personnel Manual (FPM) contains the Civil Service regulations and guidelines on every aspect of personnel managing; hiring, firing, training, negotiating, paying, granting leave, appealing, handling grievances, etc. The Navy Civilian Manpower Management Instructions (CMMIs) supplement the FPM with our guidance on civilian personnel management. The CMMI's are interleaved throughout the FPM where Navy interpretations or additional guidance is necessary. Each civilian personnel office has A CMMI/FPM volume which is available to any Department of the Navy manager or employee.

PART 3 - STAFFING THE PUBLIC WORKS DEPARTMENT

14.3.1 Organization. The first step in organization is to establish the type and number of positions that will be

strengths may be temporarily exceeded provided the activity budget contains funds for temporary hires; if not, sponsor bureau or office permission is necessary. A PWO who must plan the organization of his department will find it advisable to refer to the suggestions and guidelines given in NAVFAC P-318, *Organization and Functions for Public Works Department.*

OPNAVINST P5310.5A, Section 50, *U.S. Navy Staffing Criteria Manual for Activities Ashore* (Public Works Section), gives a general description of key billets and outlines qualitative and guantitative personnel requirements, both military and civilian, for each type and size of public works activity.

Another source from which the PWO can obtain advice and assistance with the work of establishing civilian jobs and positions is the cognizant Engineering Field Division. The staff of this latter office will usually include some person with the necessary knowledge and experience to help in setting up positions.

The Classification Act of 1949 differentiates between two categories of employment - graded and ungraded.

14.3.2 Graded Positions. In the case of graded positions, position descriptions must be prepared by each new position and each changed position, showing its duties and responsibilities. Analysis and evaluation of the position by the proper authority (usually the Civilian Personnel Office of the activity) will result in the classification of the postion; that is, the proper grade, title and pay will be determined. This process of classification is discussed more fully in a later section, Position Classification.

14.3.3 Ungraded Positions. In the Navy, ungraded jobs are grouped into categories called positions. A position includes all jobs which are sufficiently alike in duties and qualification requirements that:

A. They can logically be called by the same title.

B. The same range of locality pay rates can be applied to them with equity.

C. The same test of fitness can be applied satisfactorily for recruitment and placement.

Each activity must have on file a job description for each rating it is using. Since many positions in the Public Works Department are ungraded, the PWO should become familiar with FPM 532, the Federal Wage System (FWS).

PART 4 - THE POSITION DESCRIPTION

14.4.1 The Position Description. A position description is an official written statement of the major duties, responsibilities, and supervisory relationships of a position. Because positions exist in such great variety, the form of a description cannot be predetermined, and it is usually simply typed on plain paper and attached to a copy of form NAVSO 12510/7 (Rev. 10-67), Position or Job Description, a cover sheet used for purposes of identification or certification.

established position have been, materially, changed. In this case, the position will have changed, and might therefor require new classification action.

B. Preparation of a Position Description (PD). In developing a PD, too much detail can result in obscuring the essential facts. Therefore, it is wise to be as brief and concise as possible rather than to submit a long, involved description covering, for example, 8 or 10 pages.

However, the data on the PD must be clear, complete, and accurate, so as to provide an adequate basis for the classification. The position classifier who will use the PD to make the classification recommendation, is trained in the application of classification standards, but he is dependent upon the PD for the facts in each specific case.

14.4.2 Instructions for Preparing Descriptions of Graded Positions (NAVEXOS 12510/7A)

A. General Information. Descriptions should be written in plain, clear language using short, factual statements. General, indefinite terms and vague expressions should not be used. Abbreviations, form numbers, and phrases which have no meaning outside the immediate office should not be used. Conclusions or opinions about the difficulty of the work should not be given. Descriptions prepared in accordance with this format will facilitate their processing and classification.

B. Primary Standards

1. Knowledge Required by the Position
2. Supervisory Controls
3. Guidelines
4. Complexity
5. Scope and Effect
6. Personal Contacts
7. Purpose of Contacts
8. Physical Demands
9. Work Environment

The primary standards noted above are referred to as the "Nine Factor Evaluation System" component. These items are described in detail in Civil Service Commission Publication TS27 of May 1977. Also in this publication are descriptions of primary standards, a postion evaluation statement, how to write a position description as well as a host of data germane to position descriptions. This publication should be used in all cases where positions descriptions are being written, rewritten or reviewed.

14.4.3 Review and Audit. When the posititon classifier receives a PD, he reviews it to determine level of difficulty and responsibility. The classifier may have to make a work audit in order to amplify or clarify some aspects of the position. When this is done the classifier prepares audit notes which are attached to and become part of the PD.

14.4.4 Who Writes Position Description?

A. Management's Responsibility. Line management is fully and exclusively responsible for deciding what the duty and responsibility content of each position shall be. Line

description meets these objectives and serves the purposes mentioned above, it is of little consequence who prepares it. The development of factual information regarding the duties and resonsibilities of civilian positions in the Navy is a primary responsibility of individual commands. Inherent in this responsibility is the right to determine who should prepare postion descriptions.

B. The Supervisor's Responsibility. The immediate supervisor is responsible for initiating classification action in most cases. In all cases he is responsible for seeing that an accurate presentation of relevant facts is made. He should, therefore, direct the preparation of each needed description. In cases such as the following, the supervisor should ordinarily write the description:

1. When the work of the position is not being regularly performed by one person, either because no employee has yet been assigned the duties of the position or because its incumbent is on extended absence.

2. When the work of the position is being performed by a recently assigned employee who is not yet well acquainted with it and there is good reason for not delaying preparation of the description until he becomes well acquainted with the work.

3. When the work of the position is undergoing, or is about to undergo, material change and there is good reason for not delaying preparation of the description until the incumbent becomes well acquainted with his assignments as changed.

C. The Incumbent's Role. Regardless of who prepares a position description, if the work of a position is being regularly performed by one person, that person is an important source of information about the position. It is, therefore, a widespread practice to have such persons either prepare the descriptions or participate in their preparation. When an incumbent writes the description he should be counseled by his supervisor through a discussion of the position and the approach to be taken in describing it, before he begins to write the description.

D. Review by the Supervisor. Regardless of who has written a position description, the supervisor should review it for adequacy of information, clarity, accuracy, and over-emphasis or under-emphasis.

If an employee has any erroneous concepts of the scope of his work, the degree of his responsibilities, or the relation of his position to other positions, the supervisor should correct such misunderstandings at this time. Every attempt should be made to reach agreement between the employee and supervisor as to how the position should be described. If agreement cannot be reached, either may condition his certification of the description on NAVSO 12510/7 by attaching supplementary comments thereto. Any conflict thus raised will, of course, have to be resolved by the proper management officials before the position description can be acted upon.

If an employee's description shows the duties he has been performing to differ from an approved and desired plan of organization, the supervisor should make an appropriate

E. The Classifier's Role. The classifier is responsible for: (1) instructing employees and supervisors on how to write descriptions-either on an individual or group basis; (2) reviewing descriptions for adequacy-either in rough draft or final form: (3) writing descriptions when called upon to do so; and (4) determining the advisory classfication.

F. The Position Versus the Employee. Position classification involves classifying positions and not employees. The classifier is not permitted to take into account any of the personal qualities of the incumbent, such as his efficiency, loyalty, length of service, sex, race, color, or creed.

There are situations, however, where an employee's individual traits or abilities may affect the nature of the work he performs, and thus have a legitimate effect on the classification of his position. A particularly capable employee, for example, might be given duties and responsibilities beyond those originally prescribed for his position. Similarly, a highly qualified employee may change the method and levels of operation at which position requirements are carried out. This is especially true of professional specialists.

G. The Position Versus the Position Description. A PD is an official written statement of the duties, responsibilities and organizational relationships of a position. It does not prescribe the duties of the position-it merely *reports* them as they exist at any given time. It in no way interferes with any lawful authority an operating official may posses to detail an employee to different work on a temporary basis, or to change his work assignment on a continuing basis. In the latter case, the existing PD should be replaced by a new and current description.

H. Position Description versus Postion Classification Standards. A PD is a description of an individual position, and should be written in specific language to portray that position. A classfication standard is a description of the many positions comprising a class, and is necessarily more generalized in its approach. For this reason classification standards make poor basis for preparing PDs and should not be used for this purpose.

I. Classification versus Pay. Failure to recognize the distinction between classfication and pay often leads to agitation to classify positions improperly in attempts to solve pay problems. Basic principles of both classfication and pay demand that classfication problems be solved within framework of the classfication plan and that pay problems be solved within the framework of the pay plan.

Classification should never be used as a tool for adjusting pay rates, either up or down, for budget purposes, or to suit the present or future employee of the position. Position classifiers frequently encounter such situations, particularly with shortage category positions where recruitment is difficult because private industry is paying higher salaries for equivalent skills and knowledge. Likewise, it is a common occurrence for an employee or supervisor to attempt to get a position classifed to a higher grade to reward the employee for long service, quality, or quantity of work. Classification is not the solution. In some cases increased in-hiring rates within the grade may be recommended to the Civil Service

higher grades through reclassification.

PART 5 - COMPENSATION

14.5.1 Pay Levels. The pay levels for graded positions are fixed by the salary acts passed by the Congress. The objective of this legislation is to provide equal pay for equal work. Each of the 18 grades of the Classification Act has an established salary range, and the incumbent of a grade moves upward within the grade, in salary (step) increments. (See Figure 14-4).

In general, movement of an individual from one to the next higher of these increments depends upon the length of service at a grade step, and performance of the duties Employees who perform at an acceptable level of competence, as certified by the supervisor, are advanced to the next higher pay step within the range for the grade after serving the required period of time.

14.5.2 The Federal Wage System (FWS). FWS came into being in 1965 by a Presidential Order which directed the CSC to eliminate wage differences then existing between the same jobs in the same areas, as established by different agencies of the Federal Government. Under a National Wage Policy Committee, FWS policies have been established. Each agency is responsible for fixing and administering rates of pay for wage board (ungraded; blue collar, trades and crafts) employees of the agency. DoD Directive 5120.39 of 5 June 1968 established the Department of Defense Wage Fixing Authority.

Salaries for blue collar or wage employees are set in accordance with the Federal Wage System (FWS). The FWS is based on the principle that pay will be fixed in accordance with prevailing rates in the geographic area in which the position operates. The prevailing rates are set as a result of statistically valid wage surveys, conducted by local area wage survey committees, of the level or rates paid by private employers in the same local wage area for similar kinds and levels of work performed in the Federal Service. Non-supervisory wage positions and leaders are graded according to 15 levels. Based on the job description, each job is placed in the proper grade.

With satisfactory work performance an employee advances automatically to the second rate after 26 weeks of creditable service, to the third rate after 78 weeks of creditable service at the second rate, to the fourth and fifth two years (104 weeks) of creditable service at the third/fourth rate.

The outcomes of the activity of Wage Survey Committees are wage schedules which differ by region, but are compatible within regions. They reflect the wages paid by private employers within regions, (and in some instances rates paid in specified industries outside the local wage area) and are periodically updated.

In addition to the 15 wage level for non-supervisory employees and leaders, there are 19 supervisory wage levels, including (in descending order):

Superintendents, General Foremen or Foremen.

supervised.

Each established area wage schedule has 5 rates of pay (steps) with the first and third step 4% below and above the second step, respectively and each of the fourth and fifty steps 4% above the previous step. A typical FWS wage rate schedule is shown in Figure 14-5.

14.5.3 Selection for and Appointment to Positions and Jobs. Selection for employment is one of the most important decisions a line manager makes. This decision is not made by the CPO who normally recruits candidates for employment, receives applications, prepares lists of eligibles for position/job openings; but selection of employees from eligible candidates is the responsibility of line officials.

In most cases, highly qualified candidates should be interviewed by the PWO or his designate(s). Employment interviewing is often done very poorly; a few words on this may be in order. Remember, the purpose of the interview is to gain sufficient position/job relevant information to enable the interviewer to choose the candidate with the greatest prospect of fulfilling management's expectations. The following is excerpted from *Employment Interviewing*, Personnel Methods Series 40.5, CSC:

What are the major methods that an interviewer uses to get an applicant to talk and yet get the information he wants? The major methods are:

1. He doesn't ask questions which can be answered "yes" or "no". Most of his questions are worded so that the candidate has to talk. He also repeatedly asks questions such as "How did you get interested in that?" and "How did you feel about that?"

2. He pauses for at least a few seconds after the applicant has seemingly finished before he asks any more questions in order to give the applicant a chance to talk further. On this point, it has been suggested that "knowing when not to inject onself into the interview is often as important as asking questions deftly.....The interviewer who feels he must fill every void of silence should know that his eagerness to talk is usually caused by concern about his own comfort rather than concern for the applicant."

3. He tries several different subjects at the beginning to determine which subject is most provocative in getting the applicant to talk, although he returns to those topics on which the candidate froze in order to determine if the lack of response is significant.

4. He repeats parts of the key sentences of the applicant in a questioning tone to indicate that he wants elaboration.

5. He asks one question at a time.

6. He makes his questions clear but without indicating what he thinks the correct answer is.

7. His manner is interested, his attention is uninterrupted, and neither his manner nor words imply criticism or impatience, or a critical attitude toward what is being said.

PAY RATES OF THE GENERAL SCHEDULE
(as of January 1979)

STEP	1	2	3	4	5	6	7	8	9	10
GS-1	$6,561	$6,780	$6,999	$7,218	$7,437	$7,656	$7,875	$8,094	$8,313	$8,532
2	7,422	7,669	7,916	8,163	8,410	8,657	8,904	9,151	9,398	9,645
3	8,366	8,645	8,924	9,203	9,482	9,761	10,040	10,319	10,598	10,877
4	9,391	9,704	10,017	10,330	10,643	10,956	11,269	11,582	11,895	12,208
5	10,507	10,857	11,207	11,557	11,907	12,257	12,607	12,957	13,307	13,657
6	11,712	12,102	12,492	12,882	13,272	13,662	14,052	14,442	14,832	15,222
7	13,014	13,448	13,882	14,316	14,750	15,184	15,618	16,052	16,486	16,920
8	14,414	14,894	15,374	15,854	16,334	16,814	17,294	17,774	18,254	18,734
9	15,920	16,451	16,982	17,513	18,044	18,575	19,106	19,637	20,168	20,699
10	17,532	18,116	18,700	19,284	19,868	20,452	21,036	21,620	22,204	22,788
11	19,263	19,905	20,547	21,189	21,831	22,473	23,115	23,757	24,399	25,041
12	23,087	23,857	24,627	25,397	26,167	26,937	27,707	28,477	29,247	30,017
13	27,453	28,368	29,283	30,198	31,113	32,028	32,943	33,858	34,773	35,688
14	32,442	33,523	34,604	35,685	36,766	37,847	38,928	40,009	41,090	42,171
15	38,160	39,432	40,704	41,976	43,248	44,520	45,792	47,064	*48,336	*49,608
16	44,756	46,248	*47,740	*49,232	*50,724	*52,216	*53,708	*55,200	*56,692	
17	*52,429	*54,177	*55,925	*57,673	*59,421					
18	*61,449									

*The asterisk shows grades and steps within grades that would not get any U.S. Civil Service Commission salary increase because Congress has frozen federal salaries at $47,500.

FIGURE 14-4
GENERAL SCHEDULE OF PAY FOR CLASSIFIED EMPLOYEES

DEPARTMENT OF DEFENSE WAGE FIXING AUTHORITY
WASHINGTON, D. C. 20310

AC-013
21 NOVEMBER 1978

FEDERAL WAGE SYSTEM REGULAR AND SPECIAL PRODUCTION FACILITATING WAGE RATE SCHEDULES FOR THE WAGE AREA OF LOS ANGELES, CALIFORNIA

G WS ADE	WG-RATES					WL-RATES					WS-WD-WN RATES					WD-WN PAY LEVEL	
	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5		
	5.42	5.65	5.88	6.10	6.33	5.97	6.22	6.47	6.72	6.97	7.93	8.26	8.59	8.92	9.25		
	5.75	5.99	6.23	6.47	6.71	6.33	6.59	6.85	7.12	7.38	8.26	8.60	8.94	9.29	9.63		
	6.08	6.33	6.58	6.84	7.09	6.68	6.96	7.24	7.52	7.80	8.58	8.94	9.30	9.66	10.01	1	
	6.40	6.67	6.94	7.20	7.47	7.05	7.34	7.63	7.93	8.22	8.86	9.23	9.60	9.97	10.34	2	
	6.70	6.98	7.26	7.54	7.82	7.37	7.68	7.99	8.29	8.60	9.14	9.52	9.90	10.28	10.66	3	
	6.99	7.28	7.57	7.86	8.15	7.69	8.01	8.33	8.65	8.97	9.42	9.81	10.20	10.59	10.99	4	
	7.27	7.57	7.87	8.18	8.48	8.00	8.33	8.66	9.00	9.33	9.71	10.11	10.51	10.92	11.32	5	1
	7.56	7.87	8.18	8.50	8.81	8.31	8.66	9.01	9.35	9.70	9.98	10.40	10.82	11.23	11.65	6	2
	7.83	8.16	8.49	8.81	9.14	8.61	8.97	9.33	9.69	10.05	10.26	10.69	11.12	11.55	11.97	7	3
	8.11	8.45	8.79	9.13	9.46	8.92	9.29	9.66	10.03	10.40	10.54	10.98	11.42	11.86	12.30	8	4
	8.40	8.75	9.10	9.45	9.80	9.24	9.62	10.00	10.39	10.77	10.76	11.21	11.66	12.11	12.56	9	5
	8.68	9.04	9.40	9.76	10.12	9.55	9.95	10.35	10.75	11.14	11.05	11.51	11.97	12.43	12.89	10	6
	8.97	9.34	9.71	10.09	10.46	9.87	10.28	10.69	11.10	11.51	11.41	11.89	12.37	12.84	13.32	11	7
	9.24	9.62	10.00	10.39	10.77	10.16	10.58	11.00	11.43	11.85	11.84	12.33	12.82	13.32	13.81		8
	9.52	9.92	10.32	10.71	11.11	10.47	10.91	11.35	11.78	12.22	12.33	12.84	13.35	13.87	14.38		9
											WS-16	12.88	13.42	13.96	14.49	15.03	
											WS-17	13.51	14.07	14.63	15.20	15.76	
FFECTIVE DATE: 19 NOVEMBER 1978											WS-18	14.21	14.80	15.39	15.98	16.58	
											WS-19	14.98	15.60	16.22	16.85	17.47	

FIGURE 14-5
COORDINATED FEDERAL WAGE SYSTEM REGULAR WAGE RATE SCHEDULE

the point when the applicant digresses.

10. He uses language which is appropriate for the applicant.

Interviewers frequently fall into the trap of trying to counsel applicants whom they have to reject for employment, perhaps in compensation for this rejection. This counseling is unwise for a number of reasons of which three may be emphasized. In the first place, most interviewers, no matter how skilled, do not have the additional training needed for vocational and personal guidance. Also, this guidance may be on matters on which the applicant needs much more help than the interviewer can provide in a few minutes. Finally the interviewer may be wrong in his conclusions. Guidance on matters beyond his competence might not always be dangerous but could certainly be laughable. For those and other reasons, vocational and personal guidance should be left to those with special training rather than being assumed gratuitously by employment interviewers.

The following checklist on the conduct of the interview may be useful to the interviewer:

1. Do I know in detail the characteristics of persons who will probably do best on the job to be filled?

2. Have I studied thoroughly the results of the other selection methods, including the application blank?

3. Do I have a complete list of questions for all applicants, based on an analysis of the information available about them?

4. Have I determined the topic or topics on interview I am going to use and have I a complete list of subjects for discussion?

5. Did I get each applicant to speak freely and yet to the point? Did I listen carefully to what was said and observe behavior at the same time?

6. Did I follow leads or did I stick to one pattern for all applicants?

7. Did I speak less than 35 percent of the time? Did I act in such a manner that it gave the applicant a chance to show his natural behavior?

8. Did I get reliable information on all the factors included on the rating form? Did I cover adequately all the items marked in the list of proposed topics? Did I ask expanding questions to be sure that I understood what was said?

9. Did the applicant leave with a favorable opinion of my organization?

If the answer to these questions is "yes", then the interview was conducted well".

When a candidate is selected by the responsible line official, and CPO is notified by the line official of the successful candidate, the CPO will proceed to effect the

continue for more than 1 year. Such an appointee must serve a total of 3 years before he becomes a career employee.

The 3-year tenure is a requisite for CAREER status in the Federal service, but the first year is a probationary period intended to test the employee's fitness and general desirability.

14.5.5 Temporary and "TAPER" Appointments. Temporary limited appointments may be made to noncontinuing positions. Such appointments are not to exceed one year. Extensions require approval by the Office of Personnel Management. A continuing position in an activity may be filled by a person given a temporary appointment only under certain conditions: When no register has been established for the position, or when existing registers are inadequate to satisfy the employment requirements. An incumbent of a temporary appointment continues to serve only until a register is established (temporary appointment pending establishment of a register- "TAPER"), and the OPM may direct displacement. Such an incumbent, of course, may take the appropriate examiniation, and compete for a career/career-conditional appointment.

The appointment of any person aged 70 years or over is always a temporary appointment, and may not exceed 1 year (although these appointments are renewable for 1-year periods).

No temporary appointment carries any probationary requirement since the incumbent cannot acquire competitive status or eligibility for reappointment after separation. Inasmuch as they have no competitive status, these incumbents may not be transferred, or promoted non-competitively to career or career-conditional appointment.

14.5.6 Hours of Work. For graded and ungraded positions, the basic workweek is fixed by law at 40 hours. These working hours should be scheduled on 5 days, Monday through Friday; when this is not possible, the 2 days outside of the basic workweek should be scheduled well in advance.

Overtime for graded and ungraded employees is defined as any period of time worked over and beyond the basic 8-hour work period in any day or in excess of 40 hours in an administrative workweek. To be eligible for overtime pay, overtime work must be ordered and approved by proper authority. The use of overtime should be restricted to cases of real necessity. If a supervisor "suffers or permits" an employee to work overtime (noon hour/after or before hours, etc.), the employee is entitled to compensation- Fair Labor Standards Act of 1974.

On legal holidays designated as nonwork days, employees are excused from work, but receive their regular pay. Except for New Year's Day (1 Jan), Independence Day (4 July), Thanksgiving Day (last Thursday in November) and Christmas Day (25 Dec), all legal holidays are observed on designated Mondays or Fridays. Graded and ungraded employees are given holiday premium pay for 8 hours or less of work performed on a holiday that is observed during the 40-hour basic workweek.

The Commanding Officer of an activity is authorized to

14.6.1 Maintenance of Personnel Records. The PWO should not detail any of his staff to the task of keeping any personnel records that are available from either the personnel department of the activity, or the CPO.

Within the Public Works Department, the Personnel Branch of the Administration Division is responsible for all matters pertaining to time keeping and personnel records, and for maintaining necessary liaison with the CPO of the activity. As a result, one or two clerks are normally all that will be required for performing the work connected with the records required by the PWO. The latter should not step into the functions of the personnel department, and the Head of the Personnel Branch should not duplicate any services which the CPO stands ready to provide.

14.6.2 Leave Administration. The provision of leave for civilian employees is similar to that for naval personnel except that for civilian employees, annual leave and sick leave are measured in working days versus calendar days. However, the several different types of leave available for civilian personnel make the regulations somewhat complicated. A variety of situations may arise in connection with charging leave, and with maintaining leave records. The following discussion gives the general picture. When specific problems arise, the activity Civilian Personnel Department or FPM 630 will provide the correct answers.

A. Annual Leave. The use of annual leave should be approved beforehand, except in cases of emergency. Ultimate decision for approval rests with the supervisor, but employees should be encouraged to use their annual leave insofar as its use does not interfere seriously with work schedules. As long as the accrual and charging of leave are related to the standard workweek, computation of leave remains a routine matter. Public law 93-181, December 1973, brought about major changes in the administration of annual leave for Federal employees.

One significant change now permits the crediting of annual leave not used because of "exigencies of the public business" or sickness. The law states that an employee who forfeits annual leave because: (1) operational demands did not permit its usage, or (2) because of personal illness, may now have the leave credited to a "special" leave account, upon submission of SUFFICIENT DOCUMENTATION, providing that the leave was SCHEDULED IN ADVANCE.

Newly hired employees, who previously could not use annual leave until their fourth month of work, may now use any leave earned during their first 90 days of employment.

The previous limit on the number of days of annual leave for which an employee may receive cash payment when leaving government has been removed. Employees may be paid for all annual leave to their credit at the time of separation.

B. Sick Leave. All civilian employees, regardless of length of service, accrue sick leave at the rate of 4 hours for every biweekly period; that is, a total of 13 days per year. No limit is placed upon the amount of sick leave that may be accumulated.

temporary (unless temporary pending establishment of a register), part time, or intermittent is eligible for military leave. All military leave is measured in terms of calendar days versus working days.

D. Leave Without Pay. Leave without pay is approved absence in a nonpay status. It should not be confused with unauthorized absence, which is called absence without leave, and which is a basis for disciplinary action.

The ordinary use of leave without pay is to cover an absence for which an employee does not have enough annual or sick leave. In unusual circumstances, such as (1) to avoid a break in continuity of service for employed dependents of transferring service (military) personnel or (2) for educational puposes (similar to faculty subbaticals) when the completion of the course will contribute to the agency's best interest, leave without pay (normally, not to exceed one year) is granted upon request to an employee who may have annual leave to his credit.

14.6.3 Employee Training. To meet the needs for systematic training and development of its civilian employees, the Navy has formulated an employee development program that extends to virtually every level of responsibility and authority.

The specific aim of this program is to maintain a well-trained and capable force of employees, equipped to perform an effective job for the Department of the Navy. The establishment of this program is based on the premise that it is a management responsibility to raise operating efficiency through adequate development of all employees.

Compliance with statute(s) and/or NAVSEC/OPM Instructions may require employee attendance/participation in some training programs vis: apprentice, orientation, security, safety and health, etc. The training division of the activity CPO. will provide current information pertaining to the scheduling of such instruction.

Training is a function in which both line and staff must participate. All CEC Officers who are charged with supervisory or management duties should be aware of the need for indoctrination training, on-the-job training, supervisory and management at all levels and training to meet the demands of new work processes or equipment. The training resources of the Naval activity were created to serve the operating requirements of the command. Line officials, including the PWO will determine the need for, and the content of training; the CPO will develop, for approval, courses of instruction to serve operating needs; and assit in providing competent instructors (including, where necessary, line supervisors/management personnel); evaluate and record results.

14.6.4 Performance Evaluation. Performance evaluation is very closely related in its purposes to the Navy's training and development program. Both the employee training program and the performance appraisal help to develop the employee so that he will perform his duties more effectively. The appraisals also have an important role in determining the training needs in a given activity or unit.

rating which is given in the case of all civil service employees. This rating is normally due for each employee on a stated date each year; in the case of employees who have not been in the supervisor's unit for a complete year, the former supervisor should be considered for information for the relevant period of time.

The form used for the rating is optional with the activity, but whether the standard rating form is or is not used, all activity employees must be notified of their ratings, either by written notices or orally.

There are three factors upon which each employee is rated: quality of work, quantity of work, and adaptability.

Quality of work relates to accuracy, neatness, and acceptability of work results: degree of conformance to prescribed standards; skill and ability demonstrated in accomplishing the work; soundness of judgement and decisions; and, in general, the effectiveness of effort in a qualitative sense.

Quantity of work relates to the amount of acceptable work produced; application to duty; meeting of deadlines; and, in general, the effectiveness of effort in a quantitative sense, and within whatever time limits are involved.

Adaptability relates to the many elements of an employee's contribution to the organization, as indicated by his cooperation with supervisors and fellow workers; his willingness to learn new procedures, and to try new assignments; and his adjustment to conditions of work. Offenses resulting in the taking of disciplinary action (for example, warnings or suspension) should be considered in the rating if it is clear that these attitudes affected the characteristics of performance.

14.6.5 Use of Performance Ratings. The performance rating, itself, is the supervisor's periodic, official summary of his evaluation of an employee's performance. But performance evaluation is not a periodic process; it is the supervisor's continuing, day-to-day responsibility. Proper use of employee performance evaluation, including performance ratings, help improve employee performance by:

Strengthening supervisor-employee relationships;
Identifying work standards and requirements;
Informing employees of work standards and requirements;
Recognizing commandatory and outstanding work performance;
Recognizing and correcting work deficiencies; and
Providing a guide to personnel actions.

A. Levels for Ratings. The Performance Rating Plan carries three levels for ratings; Satisfactory, Unsatisfactory, and Outstanding. The rating form introduced in 1975 expands the Satifactory level to three levels (Marginally Satisfactory/Satisfactory/Highly Satisfactory).

The current and past rating level of Satisfactory is a broad one, ranging from a performance that is consistently excellent to performance that is barely above the level of Unsatisfactory. It is said that well over 90 percent of all civil service employees receive a performance rating of

B. Preparation and Review. When an official performance rating is due, it is normally prepared by the employee's immediate supervisor. It is then reviewed by the higher supervisor who also has a personal knowledge of the employee's performance.

It is a requirement that rating officials show each employee his own performance rating, and talk it over with him. The employee has the right to appeal the rating if he is not satisfied. (Consult your CPO regarding local appeal policy and special rating forms for the rating of supervisory personnel.)

C. Unsatisfactory Rating. A Navy employee who is to be given a rating of Unsatisfactory must be given a written warning, and this warning must be specific and in detail. The warning must be given at least 90 days before the date that an official rating is due. If the warning is given less than 90 days before the close of the rating period, the rating period must be extended accordingly.

The 90-day period gives the employee a reasonable opportunity to benefit by the warning, and improve his performance. The warning may be cancelled at any time if the performance reaches a satisfactory level.

It is important that supervisors understand that the Civil Service Commission prohibits the rating of a performance as unsatisfactory if the work requirements in which the employee is deficient were not made known to him, or if he had not been given full opportunity to meet the requirements.

The warnings should be in writing and should state:

1. What job requirements the employee is failing to meet satisfactorily;
2. What the employee must do to bring his performance to a satisfactory level in the 90-day period; and
3. What efforts will be made to help the employee improve.

D. Outstanding Rating. An Outstanding rating may be awarded only when all aspects of the performance exceed normal requirements and also are outstanding and deserve special commendation. An Outstanding rating must be supported by a detailed, written statement of the performance requirements and the reasons for considering each aspect of the performance worthy of special commendation.

An item for the PWO to remember is the effect of an outstanding rating upon an individual's relative standing on the retention register. This rating adds 4 years to that, individual's service time, which means that during a Reduction-in-Force (if it should occur in the succeeding year) the individuals chance of surviving a reduction is greatly improved, and that one or more other with entrance date(s) predating his, could be separated before him.

E. Performance Ratings as a Morale Factor. Accurate evaluation of employee performance, with subsequent recognition and reward of superior accomplishment, and with further training when the need is indicated, are requirements for good management. The preparation of performance

To the officer responsible for supervising civilian employees, ratings are a tool for increasing the effectiveness of his working force. They serve as a periodic inventory of the most important asset of his organization-namely, manpower. These ratings assist management in determining proper personnel actions involving pay increases, promotions, changes of assignments, transfers, training, demotions, dismissals, and layoffs.

To the individual employee, his performance rating is a vital factor in his progress and his career. The rating also indicates how well he is doing on his assigned job, and points out possibilities for improvement.

Although performance ratings are officially made at regular periods, the process of evaluating the employee's performance, and discussing it with him, should be a continuing supervisory practice.

In rating a supervisory employee, his performance toward furthering equal employment opportunity must be considered. This includes his fairness in making selections; encouragement and recognition of employee achievements; treatment of minority group employees; and sensitivity to the developmental needs of all employees, as well as his ability to effectively evaluate and rate the performance of his subordinates.

F. Within-Grade Periodic Pay Increases. Employees occupying positions subject to the General Schedule receive, under certain conditions, periodic increases in basic pay rates. These increases are referred to as within-grade increases. An employee, to be entitled to a within-grade increase, must meet the following requirements:

1. He must have served the required waiting period for advancement to the next higher rate;
2. He must not have received an equivalent increase during the prescribed waiting period;
3. His level of competence must have been determined to be acceptable (not marginal).

The length of the waiting period varies with the numerical rate of a grade in which the employee is serving. The waiting periods are as follows:

1. 52 calendar weeks of creditable service to go to rates 2, 3, or 4 (See Figure 14-3);
2. 104 calendar weeks of creditable service to go to rates 5, 6, or 7; and
3. 156 calendar weeks of creditable service to go to rates 8, 9, or 10.

Granting of within-grade increases does not occur automatically, and the fact that an individual has received a satisfactory performance evaluation does not necessarily lead to a within-grade raise; work performance must be at a sufficient level to merit a pay increase and not just adequate/marginal for retention on the job. In other words, marginally satisfactory is not enough (see Form NAVEXOS 12552/2 *Certification - Within-Grade Salary Increase).*

The Commanding Officer and his delegates are responsible for determining what constitutes an acceptable level of

recognizing, by within grade increases, those employees who have performed acceptably.

Every employee must be kept currently advised of his work performance and, at least 60 days in advance of the date on which he will complete his waiting period, he will be advised by his supervisor of any defect in the quantity or quality of his work which would be the basis for withholding a within-grade increase. Failure to inform the employee of any factor that raises a question about his work being of an acceptable level of competence does not delay or otherwise affect the requirement for a determination to be made, at the completion of the employee's waiting period, of whether his work is of an acceptable level of competence. Failure to properly inform the employee of the unacceptable level (in advance) however, requires that a subsequent determination be made.

Within-grade increase determination shall be based on the essential requirements of the employee's position, and the increase should be awarded when his work performance clearly meets those standards recognizing that for an increase, work performance must be of sufficient level to merit a pay increase and not just adequate for retention on the job. The determination shall be based on the employee's work performance during the waiting period and shall be recorded in writing.

In the interest of uniformity of application of this requirement, all supervisory personnel should avail themselves of published guidelines and training offered at activity levels of CPO, on the subject of within-grade increases.

14.6.6 Quality (Performance) Salary Increases (QSI). Quality increases are designed to recognize and to reward, on a continuing basis, employees at all levels who display continuing high quality performance. The authority to grant additional within-grade increases for this purpose is an important companion to the authority to grant within-grade increases periodically to employees whose work is found to be of an acceptable level of competence. Together, these two statutory authorities provide a degree of flexibility in pay administration which permits greater recognition of the differences in performance shown by employees in the same type and grade of position.

The statutory standard for a quality increase is "high quality performance above that ordinarily found in the type of position concerned."

In this context, high quality performance is characterized by an employee's performing the most important functions of his job in a manner that substantially exceeds normal requirements so that, when viewed as a whole, his work performance is of a high degree of effectiveness.

To meet the statutory standard, performance must exceed *medium, average, or typical* work to such an extent that the employee concerned merits faster-than-usual pay advancement. High quality performance is atypical in the sense that it exceeds performance ordinarily found in the type of position concerned. On the other hand, it does not represent such perfection as to be impossible of attainment

increase should not be granted until there is sufficient active service upon which to base a conclusion that high quality work is characteristic of the employee's performance.

An employee meeting the high performance standards required for an outstanding rating under chapter 43 of title 5, United States Code, would ordinarily meet the standard of performance for a quality increase described above. This does not mean, however, that the assignment of an outstanding rating automatically requires that the employee be given a quality step increase.

14.6.7 Promotion. Employment of civilian personnel at a Navy activity is effected in line with condition that prevail at the particular time. Subsequently, changes in mission, in organizational setup, in relative workloads, or in congressional legislation may result in changes of grade level of existing positions, as well as in the creation of new positions and the abolishment of former positions.

The Navy policy is to give full consideration to the utilization of employee skills, but management needs must also be considered. Consequently, with any shift in functions, or significant expansion or retraction in workload, it may become necessary to upgrade or downgrade the jobs at a given activity.

The Navy Merit Promotion Program has as its primary tenet the concept that for promotion, as for initial selection, the best qualified person should be located and placed in the position. Thus, in addition to meeting Civil Service Commission qualification standards which apply to initial appointment, candidates for promotion may be required to meet additional standards imposed by the selected activity. Such additional standards must, of course, be relevant to the position, be applied alike to all candidates, and be such that well-qualified persons may reasonably be expected to meet them.

Each Naval activity must have a written promotion program available to employees for their information and the views of employees and their organizations must be sought when changes in the promotion program are proposed. One important feature of the promotion program is the "area of consideration," it may be a segment of the activity, the activity itself, the naval district, or a broader geographical area-even nationwide for certain high-level postions. The area of competition should be sufficiently broad to insure a group of well-qualified candidates. Selection is, of course, a management perogative; the function of the promotion program is to provide the selecting official a "slate" of top-quality candidates.

The Federal Merit Promotion Program requires the evaluation of applicants on such elements as: Job-related and selection placement criteria, experience, awards, special training, self-development and outside activities. The following elements will be used in determining the total quality of the applicant's background in order that highly qualifed candidates may be referred to the selecting official.

1. Awards (i.e., Outstanding, Quality Step Increase, Superior Achievements or other performance of job-related awards).

2. Self-development (i.e., graduate courses or other training or studies).

4. Outside activities (job-related, not social or fraternal).

5. Publications, patents, papers.

PART 7 - THE INCENTIVE AWARDS PROGRAM

14.7.1 Incentive Awards. The Incentive Awards Program in the Department of the Navy is part of the overall program for the Federal service; authority for this program is congressional legislation passed in 1954.

In its implementation of procedures for administering this program, the Navy requires that the program be endorsed and supported by all levels of management, and on a continuing basis. It is therefore mandatory for PWOs to utilize this program to the end that the Navy and its civilian employees derive the greatest possible benefit.

Graded and ungraded employees alike are eligible for various types of awards. Employees should be encouraged to participate in every possible way in the improvement of efficiency and economy in Government operations. Management should recognize and reward individual employees, or groups of employees, for beneficial suggestions, inventions, superior accomplishments, or other special acts or services which are related to their official employment, or which contribute materially to the public interest.

Desired results from this program will be achieved if the following objectives are kept in mind:

1. Utilization of employee suggestions and accomplishments to effect optimum use of manpower, money, and materials.

2. Use of the available incentives, by commanding officers and supervisors, to secure employee participation in managerial improvement efforts.

3. Maintaining good morale and satisfactory employee-management relationships by recognition of employee suggestions and superior accomplishments which result in a high degree of benefit to the Navy and to the Government in general.

14.7.2 Types of Awards. Under the Incentive Awards Program, cash awards, honorary awards, or a combination of the two, are available for (1) inventions and/or beneficial suggestions that are adopted and used by the Federal Government; (2) superior accomplishments in performance and achievement; and (3) special act or service beyond the call of duty. Honorary awards only are available for (1) distinguished, superior, or meritorious civilian service; (2) safety records; and (3) length of service.

A Beneficial Suggestion is a constructive idea, relating to an official operation, conceived and developed by an employee (or group of employees) and submitted to management for evaluation and award consideration based on tangible and/or intangible benefits to the Navy and the Government.

employee which has resulted in demonstrable dollar economy to the Government.

2. **Special Act or Service** is of an unusual or distinctive character or in the public interest and is related to official employment.

3. **Sustained Superior Performance** is work performed by an employee which demonstrates sustained superior performance of assigned duties for a period of not less than six months. Not more than one award for Sustained Superior Performance will be granted within a twelve month period.

When an activity takes public notice of the accomplishments of its employees, in any of the areas mentioned above, it is making its own contribution to the establishment of good employee-management relations.

Details of the various awards, those mentioned here and some additional ones, can be found in FPM/CMMI 451.

PART 8 - DISCIPLINARY ACTIONS: DEMOTIONS

14.8.1 Disciplinary Actions. Heads of Navy activities are responsible for the administration of disciplinary matters involving employees under their jurisdiction. The Commanding Officer should delegate authority for administering discipline to subordinate officers and to civilian supervisors. These officers and supervisors must be careful to handle matters concerning discipline with good judgement and fairness. Heads of activities will determine, in the light of local problems and local organization, the scope of responsibility of each officer, and supervisor.

Most disciplinary actions are occasioned by an employee's failure to comply with existing rules and regulations, established work procedures, and safety practices. Warnings and suspensions should be sufficient to induce the offender to comply with activity rules but in some cases it may become necessary to initiate actions leading to removal.

It is the policy of the Navy to keep all employees fully and constantly informed of the standards of conduct expected of them. When an employee's failure to comply with these standards is a result of ignorance of the standards, the onus rests upon his supervisor.

Civilian supervisors should keep in mind that along with authority to take disciplinary measures, they have also been charged with responsibility for directing their employees in phases of their work performance.

The administration of discipline must be consistent with the needs. In each case, the penalty must be determined in the light of the facts. There exists a Navy standard schedule of disciplinary offenses and penalties, to assist activities when disciplinary actions must be taken. Part of this schedule is shown in Figure 14-6.

Any disciplinary action should be weighed in terms of the efficiency it is designed to promote. In general, formal by the gravity of the offense.

However, suspensions as well as removals result in loss of production. These remedies should be used only when other methods fail. The cost of recruiting and training a new employee may be in excess of the cost and trouble of bringing the experienced employee to an attitude and standard of performance that is compatible with the interest of the activity. Withal, there is no guarantee that the new employee will have a better attitude, or a higher standard of performance, than the experienced man.

Although removal of employees should be kept to a minimum, there will be cases where an employee's performance warrants suspension or removal. The action must be fully justified and substantiated. There are two sets of procedures that may be followed: informal and formal. The informal procedure is used in the case of any employee who has no protective rights by virtue of his type of appointment, or veteran status. The formal procedure must be used where the employee is a veteran, or has completed his probationary period and acquired competitive status. (See Part 9, this chapter, for employee rights to adverse action appeals).

Prompt action is required if there is to be maximum effectiveness. Charges should be preferred as soon as possible after the offense is committed. All hearings should be conducted in a fact-finding spirit. The employee should be notified promptly of the final decision.

Every effort should be made to help the employee understand the basis of the decision. He should be advised that removal through disciplinary action does not necessarily cause the employee to forfeit his eligibility for future Federal employment. If within 6 months of the removal action, the discharged employee makes a request to the Merit Systems Protection Board, the Board will investigate the circumstances surrounding his dismissal, and will decide the suitability for further Government employment.

The civilian personnel department of the activity will provide advice and assistance in all matters of discipline. The staff in these offices are familiar with the provisions of FPM 751 *(Disciplinary Actions and Prohibitions),* and are interested in seeing that the Navy policy in this respect is enforced for the benefit of all concerned. Examples in Figures 14-7 through 14-13 will provide assistance to the PWO in matters of this nature.

14.8.2 Demotions. In most downgrading actions, (whether caused by reclassification of a position; reduction in force, or disciplinary action), the employee affected must be given advance written notice of the proposed actions.

This notice must state all the reasons for the proposed action, giving them specifically and in detail. It must advise the employee of his rights to appeal the action. It must be in the employee's hands 30 calendar days before the proposed action is to take place; the 30 days must be exclusive of the date of receipt.

statement, connected by the word "OR", usage of the word "OR" in a charge makes it nonspecific.

3. Penalties for disciplinary offenses will, in general, fall within the range indicated. In unusual circumstances, depending on the gravity of the offense, the past record, and the position of the employee, a penalty outside the general range may be imposed.

5. Where appropriate, consideration may be given to change to lower grade in lieu of removal.

6. Suspension penalties on this schedule apply to work days. However, if the total period of the suspension exceeds 30 calendar days, procedures in FPM Chapter 752 apply.

7. Reckoning periods start with the date of the offense.

RANGE OF PENALTIES FOR STATED OFFENSES

(Reprimands—Suspensions—Removals)

Number of intervening days in reckoning period

NATURE OF OFFENSE	1st MIN	1st MAX	2nd MIN	2nd MAX	3rd MIN	3rd MAX	RECKONING PERIOD
ACTS OF OMISSION							
1. Unexcused failure to ring clock or sign attendance record or otherwise check in	Reprimand	1 day	1 day	5 days	5 days	15 days	6 months
2. Unexcused tardiness	Reprimand	1 day	1 day	5 days	5 days	15 days	6 months
Disciplinary action is in addition to non-pay status for period of tardiness.							
3. Failure to carry or show proper identification on Navy premises as required by competent authority, or misplacement or loss of identification badge	Reprimand	1 day	1 day	5 days	5 days	15 days	6 months
4. Failure to report personal injury or accident	Reprimand	1 day	1 day	5 days	5 days	15 days	1 year
5. Unexcused or unauthorized absence on one or more scheduled days of work	Reprimand	1 day	3 days	10 days	10 days	Removal	1 year
Charge may also be used for failure to report for overtime.							
The charge of EXCESSIVE UNAUTHORIZED ABSENCE with the penalty of removal may be used when the absence exceeds five work days or when it appears the employee has abandoned his position. Extenuating circumstances offered by the employee should be considered.							
6. Leaving job to which assigned or Navy premises at any time during working hours without proper permission	Reprimand	5 days	3 days	10 days	10 days	Removal	1 year
7. Failure to observe precautions for personal safety, posted rules, signs, written or oral safety instructions, or to use protective clothing or equipment	Reprimand	5 days	3 days	10 days	10 days	Removal	1 year
8. Violating traffic regulations, reckless driving on Navy premises, or improper operation of motor vehicle	Reprimand	5 days	3 days	10 days	10 days	Removal	1 year
Driver's permit to operate vehicle on premises may be revoked, in lieu of other penalty, if vehicle involved is privately owned and recklessness or hazard to others is not involved in offense.							
9. Loafing, wasting time, or inattention to duty	Reprimand	5 days	3 days	10 days	10 days	Removal	1 year
10. Careless workmanship resulting in spoilage or waste of materials or delay in production	Reprimand	5 days	3 days	10 days	10 days	Removal	1 year
11. Failure or delay in carrying out orders, work assignments, or instructions of superiors	Reprimand	5 days	3 days	10 days	10 days	Removal	1 year
12. Failure to honor just debts without good cause	Reprimand	5 days	3 days	10 days	10 days	Removal	1 year
ACTS OF COMMISSION							
13. Unauthorized possession of, loan of, or damage to Government property or the property of others, or endangering same through carelessness	Reprimand	10 days	10 days	Removal	15 days	Removal	1 year
Does not apply to damage to government-owned household furnishings or quarters resulting from normal tenancy therein.							
14. Gambling or unlawful betting on Navy premises	Reprimand	10 days	10 days	Removal	15 days	Removal	2 years
15. Covering up or attempting to conceal defective work; removing or destroying same without permission	Reprimand	10 days	10 days	Removal	15 days	Removal	2 years
16. Disorderly conduct; fighting; threatening or attempting to inflict bodily injury to another; engaging in dangerous horseplay; or resisting competent authority	Reprimand	Removal	10 days	Removal	15 days	Removal	2 years
17. Reporting for duty or being on duty under the influence of intoxicants; unauthorized possession of or attempting to bring intoxicants on Navy premises	Reprimand	Removal	10 days	Removal	15 days	Removal	2 years
18. Selling intoxicants on Navy premises	Reprimand	Removal	10 days	Removal	Removal		2 years
19. Promotion of gambling on Navy premises	Reprimand	Removal	15 days	Removal	Removal		2 years
20. Sleeping during working hours	Reprimand	Removal	15 days	Removal	Removal		2 years
21. Failure to safeguard classified matter	Reprimand	Removal	15 days	Removal	Removal		2 years
Consider the nature of the employee's position or assignment, whether disclosure resulted, and the classification of the jeopardized matter. See U.S. Navy Security Manual for definition of classified matter and security manual of the appropriate agency when non-Navy matter is jeopardized.							
22. Smoking in unauthorized places or carrying matches in explosive areas	Reprimand	Removal	15 days	Removal	Removal		2 years
23. Endangering the safety of or causing injury to personnel through carelessness	Reprimand	Removal	15 days	Removal	Removal		2 years
24. Making irresponsible statements which are slanderous or defamatory about other employees or officials	Reprimand	Removal	15 days	Removal	Removal		2 years
Consider the duties and position of the employee, the nature of the statements made and the extent to which they damage the activity or the injured party, the nature and timing of any retraction by the employee, and the extent to which the damaging statements are supported by established facts.							
25. Malicious damage to Government property or the property of others	Reprimand	Removal	15 days	Removal	Removal		2 years
26. Actual or attempted theft of Government property or the property of others	Reprimand	Removal	15 days	Removal	Removal		2 years
Whether or not restitution was made should enter into the determination of the penalty for the offense.							
27. Immoral, indecent, or notoriously disgraceful conduct	Reprimand	Removal	15 days	Removal	Removal		2 years
For acts similar to those covered by offenses 27 and 28, the general charge of "conduct unbecoming a Government employee," explained by specifics, may be more appropriate.							
28. Disrespectful conduct, use of insulting, abusive, or obscene language to or about other personnel	Reprimand	Removal	15 days	Removal	Removal		2 years
29. Discrimination against an employee or applicant because of race, color, religion, sex, or national origin, or any reprisal action against employee	Reprimand	Removal	15 days	Removal	Removal		2 years
30. Falsification, misstatement, exaggeration, or concealment of material fact in connection with employment, promotion, any record, investigation, or other proper proceeding	Reprimand	Removal	15 days	Removal	Removal		2 years
31. Falsifying attendance record for oneself or another employee	Reprimand	Removal	15 days	Removal	Removal		2 years
32. Disobedience to constituted authorities, or deliberate refusal to carry out any proper order from any supervisor having responsibility for the work of the employee; insubordination	Reprimand	Removal	15 days	Removal	Removal		2 years

NOTE: Information concerning other offenses for which employees may be punished by removal, fine, or imprisonment may be found in FPM Chapter 735, subchapter 3-10, and appendix B-2 thereto.

FIGURE 14-6

STANDARD SCHEDULE OF DISCIPLINARY OFFENSES AND PENALTIES FOR CIVILIAN EMPLOYEES IN THE NAVAL ESTABLISHMENT

at least 5 days before the effective date of the downgrading action.

It should be made clear to employees that in demotions as a result of regrading such demotion refers to the level of the

provisions of the Veterans' Preference Act, all factors should be carefully considered before any decisions are made. Also, in the interests of good employee-management relations, downgrading procedures must be given due deliberation and careful handling.

25 April 1979

From: Immediate Supervisor
To: Employee

Subj: Letter of Caution

Ref: (a) FPM 751

1. This letter of caution confirms our verbal discussion on 22 April 1979 concerning your Unauthorized Absence. You did not report for work on 29 October 1979 nor did you contact your supervisor concerning your absence. Your explanation that you overslept and thought it was too late to come in does not justify your actions.

2. I have verbally discussed your leave record with you on several occasions. As recently as 15 March 1979 I again pointed out to you that any absence for annual leave must be arranged for and approved by your supervisor, in advance.

Signature

FIGURE 14-7
SAMPLE LETTER OF CAUTION

From: Immediate Supervisor
To: Employee

Subj: Letter of Requirement

Ref: (a) FPM 430

1. This is to confirm your quarterly appraisal discussion on 30 May 1979 and is issued in an effort to assist you in improving your work performance. During the past three (3) months your work has not met the standard requirements for your position. From my observation of your work, the following deficiencies have been noted:

a. You are careless in the typing aspects of your work.

b. You do not begin to work promptly in the morning or after the lunch break.

c. You leave customers standing at the counter while you drink coffee and carry on personal conversations with your co-workers.

d. Your reports are not submitted by the due date.

e. Although the workload has not been unusually heavy, your backlog consists of 50 unfinished orders.

2. The following are requirements to be met to bring your work up the high quality standards established for this shop:

a. You must be more thorough and pay strict attention to details in performing your work. Proof-read your typing so that you are certain that the proper accounting data, quantity, item, and stock number are typed on each order.

b. You are to begin work promptly at 0800 and at 1230 after the lunch break.

c. We are a service organization and the customer is to be given prompt, courteous attention. There are no specific "breaks" for coffee within this shop and coffee is available for consumption at any time during the day when it does not interfere with the regular work operations. Personal conservations will be held to a minimum, and confined to the work in progress.

d. You are to maintain a "tickler" file with the date of submittal for each report. Deadlines for these reports will be met.

e. By steady application to your assigned tasks and by working a full 8 hours each day, it is felt that your backlog will be eliminated.

3. I will review your workload with you at the end of each working day to determine your progress. In addition, I am available to answer your questions and to assist you in improving your performance of work.

Signature

From: Immediate Supervisor
To: Employee

Subj: Proposed Disciplinary Action; notice of

Ref: (a) FPM 751

1. In accordance with reference (a), which contains regulations governing conduct of employees of the Navy Department, you are charged with violation of these regulations as follows:

2. You will be allowed until to answer these charges personally and/or in writing and to furnish affidavits in support of your answer. Your answer may be made on the reverse side of the personnel folder copy of this form. You may retain the original.

3. You will be granted a hearing on these charges, upon request, and may have a representative and witnesses. Witnesses must be acquainted with the facts of the case and/or present factual evidence. Your request for a hearing should be included in your reply. Even though you do not request a hearing, the Senior Civilian Supervisor may conduct a hearing if considered advisable. During these procedures, you will be carried in a work status.

4. In the event the violation described above is substantiated, then, in accordance with reference (a), it is proposed to assess a disciplinary penalty in accordance with the Standard Schedule of Disciplinary Offenses and Penalties of the Navy Department. The schedule of Penalties provides for the following range: For the infractions, (Min.) to (Max.); reckoning period.

5. Your record contains the following derelictions of duty (if none, so state):

6. After consideration of your reply, if any, a written decision will be furnished you advising the action which will be taken in this matter. In the event a penalty is assessed as a result of these charges, you will also be advised of your right to appeal such action.

Signature

From: Supervisor FULL NAME and title
To: Employee's FULL NAME and rate

Date: Date of filling out the form

Ref: Nothing ncessary

Paragraph 1. Offense No. from the schedule. Applicable parts of offenses from the schedule. Describe specifically the action or lack of action by the employee. Explain why the reasons given by the employee in your informal discussion are not acceptable. (If employee made no comment, so indicate on the form.) Explain your reasons for recommending the action. State the recommended action and the proposed effective date.

Paragraph 2. Fill in the blank with a date that will allow 5 working days (not counting the date of delivery of the form to the employee).

Paragraph 3. Nothing necessary.

Paragraph 4. Call your Administrstive Officer to find out if any previous offenses of the same type have been committed within the reckoning period. Fill in the proper number of this infraction and from the schedule, fill in the minimum and maximum penalties for that infraction.

Paragraph 5. Call your Administrative Officer to find out all the previous offenses of all types committed by the employee within the past two years. List these offenses and penalties in the blank space.

Paragraph 6. Nothing necessary.

Signature

FIGURE 14-10
LETTER OF NOTICE OF PROPOSED DISCIPLINARY ACTION
(SUGGESTED CONTENT)

From:
To:

Subj:

Ref: (a) FPM 751
(b) Station Disciplinary Action Instruction
(c) Station Employee Appeals Procedure Instruction

1. This letter of reprimand is issued to you in accordance with provisions of reference (a) and authority delegated to me in reference (b).

2. The letter is for the above numbered infraction of the Standard Schedule of Disciplinary Offenses and Penalties for Civilian Employees in the Naval Establishment (NAVEXOS P1095A). The offense is detailed below.

3. Your explanation of the offense was heard as indicated. The statement was not satisfactory. Repetition of this offense within the reckoning period will result in more severe disciplinary action.

4. You may asppeal this action under reference (c).

Signature

From: Immediate Supervisor's FULL NAME and Title

To: Employee's FULL NAME and Civil Service Rating

Date: Date of preparation

Infraction: Call your Administrative Officer to find out if any previous offenses of same type have been committed within the reckoning period.

Offense Number: From Standard Schedule

Reckoning Period: From Standard Schedule

Explanation Hear: Give date and hour of your informal discussion with the employee.

Specific Offense: Use only the part of the "Nature of Offense" from the Schedule which describe the employee's actual conduct and leave out parts which do not apply. For example, if an employee used abusive language which was not obscene, he should be charged with abusive language only and not with Offense No. 27 in its entirety. Describe specifically the action or lack of action by the employee. Explain why the reasons given by the employee in your informal discussion are not acceptable. (If the employee makes no comment, so indicate on the form) Explain your reasons for taking the action.

FIGURE 14-12
LETTER OF REPRIMAND (SUGGESTED CONTENT)

Date:

From:
To:

Subj: Proposed Disciplinary Action

Ref: (a) FPM 751

1. You are herewith notified of proposed disciplinary action with regard to your violation of regulations contained in reference (a). Specifically, you were charged with:

2. Any evidence submitted or answer made by you have been considered, and it is my recommendation to based on the following facts:

3. You will be notified of the command action in this case.

4. If command sustains this recommendation, the length of the reckoning period to be imposed in this case is . A repetition of this offense or other violations during this period may result in a more severe penalty.

5. Appeal Rights:

Signature

Copy to:
Employee
Official Personal Folder
Department Head
Command (Action Copy)

FIGURE 14-13
LETTER OF PROPOSED DISCIPLINARY ACTION (SAMPLE FORM)

14.9.1 General. An appeal is a request of reconsideration of a decision to take adverse action removal, suspension for more than 30 days, and furlough without pay. A grievance is an expression of dissatisfaction with some aspect of an employee's employment situation which he seeks to have corrected - i.e., working conditions or environment, inadequate parking facilities, lack of opportunity for overtime, relationships with supervisors or co-workers, a change of assignment, etc. The basic difference is that in an appeal the employee has suffered a material loss, whereas a grievance ordinarily involved no loss at all, or, if it does, a less serious one. They are handled differently because an employee affected by an adverse action is entitled under law and Executive Order to certain rights, including the right of appeal to the Commission, whereas grievances concern matters which are not ordinarily subject to review outside the agency and for which no processing requirements are prescribed by law or Executive order. An adverse action may be taken against an employee "only for such cause as will promote the efficiency of the service." A just and substantial cause is necessary as a basis for an adverse action and the propriety of the action must be determined on the merits of each individual case.

14.9.2 APPEALS FROM ACTIONS BASED ON UNACCEPTABLE PERFORMANCE, PERSONAL CAUSE, AND OTHER REASONS

Adverse actions: removal, suspension for more than 14 days, reduction in grade or pay, and furlough for 30 days or less are appealable to MSPB. Concept of "reduction in rank" is abolished as an appealable matter.

Right to a hearing: employee is entitled to hearing on appeal to MSPB.

Burden of proof: burden of proof rests upon agency.

Standard of review

Decision of agency to be sustained only if the agency's decision:

— In the case of an action based on unacceptable performance, is supported by substantial evidence.

— In any other case, is supported by a preponderance of the evidence.

Agency's decision may not be sustained if the employee or applicant:

— Shows harmful error in the application of the agency's procedures in arriving at such decision;

— Shows that the decision was based on any prohibited personnel practice; or

— Shows that the decision was not in accordance with law.

Same standards apply whether decision is handled by MSPB or an arbitrator.

MSPB, FLRA or the arbitrator determines that payment by the agency is warranted in the interest of justice, including any case in which the agency engaged in a prohibited personnel practice or any case in which the agency's action was clearly without merit.

Judicial review of appeal decisions in Court of Claims or U.S. court of appeals.

14.9.3 APPEALS THAT INCLUDE DISCRIMINATION ISSUES

The following procedure applies to all cases involving any action that is appealable to MSPB and which include an allegation of unlawful discrimination ("mixed cases"):

— In such a matter before an agency, the agency has 120 days to resolve it. The agency decision then becomes judicially reviewable unless the employee appeals to MSPB within the time limits set by MSPB.

— MSPB decides both the issue of discrimination and the appealable action within 120 days of filing of the appeal. No EEOC participation at this step. Decision and order of MSPB represent final agency action and shall be judicially reviewable unless employee petitions EEOC to reconsider within 30 days after notice of MSPB's decision.

Employees may appeal to MSPB when the agency fails to issue a decision within 120 days.

These provisions do not affect the right to trial de novo (new trial) under applicable law.

14.9.4 Representation. The employee is entitled to have a representative of his own selection if he wishes. The representative may be an attorney, a labor union, a veterans organization, or anyone else who is willing to act on the employee's behalf. The employee may designate his representative in his letter of appeal.

A union with exclusive recognition is entitled to be represented, as a matter of right, at a hearing on a grievance. In an adverse action appeal hearing, however, the employee may object to the attendance of a union representative on grounds of privacy. In this event the appeals officer determines the validity of the objection and makes the decision on the question of attendance.

14.9.5 Informal Grievance Appeal. An employee is entitled to present a grievance under the formal grievance procedure if (1) he has completed action under agency-prescribed informal procedure, and (2) he files his formal grievance within the time limit established therefor after completion of action under the information procedure. CMM1-771 prohibits acceptance of a grievance for processing under the formal procedure which has not been processed through the informal. The following steps and actions apply to the processing of grievances in the informal procedure.

A. An employee may present a grievance concerning a continuing practice of condition at any time; however, where the grievance is concerned with a particular act or occurrence, he must present his grievance within 15 calendar

described below, on the merits of the grievance, I recommend to the Commanding Officer via the department head that the grievance be rejected without consideration of its merits if it is filed late without good cause being shown for its late submission, or if he considers that the matter grieved does not come within the purview of the grievance procedure. The Commanding Officer may reject a grievance on such procedural basis, in which event the employee has the right, and will be so advised, to protest that decision.

B. The employee may submit his grievance either orally or in writing, and must initially present it to his immediate supervisor. He has the right to be accompanied by a representative at this and all future steps in the grievance procedure. If resolution is not within the authority of the immediate supervisor he shall refer the employee to the official having such authority. The appropriate official shall make such investigation as he considers necessary and advise the employee of his findings and decision. The findings and decision may be given orally or in writing, as deemed appropriate. The decision will be rendered as promptly as possible, and normally not later than three days from the date the grievance was received.

14.9.6 Formal Grievance Procedure. An employee is entitled to submit a grievance under the formal grievance procedure outlined in the current Negotiated Labor-Management Agreement. The grievance must be in writing and shall be addressed to the Commanding Officer; it must contain sufficient detail to identify and clarify the basis for the grievance; and it must specify the personal relief requested by the employee.

14.9.7 Procedural Note. It should be noted that appeal procedures, while overall are well established as to absolute items that must be covered, are sometimes modified locally or regionally. The PWO is well advised to seek guidance from the Civilian Personnel Office prior to acting on an appeals and grievances.

PART 10 - SEPARATION AND REDUCTION IN FORCE

14.10.1 Separations. Any personnel action which results in the loss of a civilian employee to the Naval Establishment is technically a separation. Most such separations will be effected by the personnel department. Transfers, military separation, administrative separations, and so forth, need not be discussed here; but it may be advisable to say something about resignations, retirements, and reductions in force.

14.10.2 Resignations. Resignation is always a voluntary act on the part of the employee. He should give advance notice (2 weeks at least) of his intention to resign; this allows management a chance to replace him, or to make new adjustments. However, the employee cannot be forced to give notice; he fixes the effective date.

An oral resignation must be accepted, but it is advisable to have the employee give a written confirmation. If he does not do so, it is a good idea to provide him with a written notice of acceptance of his resignation. This provides a record of the action, protecting him against any claim on abandonment of job, and clearing the way for steps to replace him before he actually leaves.

Reductions in force are made in the order in which employees would be released according to his competitive level on a retention register established by the activity personnel office. These registers list all employees by retention preference within the specific competitive area.

It is necessary to know what area is included in the competitive area, since it may vary from case to case. In general, the competitive area as established in a reduction in force action is an activity, or an especially designated part thereof, within which employees are assigned, promoted, or demoted by a single administrative authority. However, additional competitive areas may be established by the supporting bureau or office.

A competitive level is defined as all positions (within a competitive area) where the duties, responsibilities and working conditions are so similar that an exchange of personnel is feasible.

Commanding Officers. The initial decision to conduct reductin of force, and subsequent decisions as to when the reduction will be made, and the size of the reduction, are local management determinations, subject, of course, to pertinent directives of the management bureau or office. In addition to compliance with the regulatory and procedural requirements of the retention preference regulations, it is the policy of the Department of the Navy that all practicable steps be taken to lessen the impact of reduction in force on employees and on the community. Activities should assume the following responsibilities in this connection.

14.10.4 Advance Planning and Preparation.

A. To the maximum extent practicable, changes in activity mission, workload, and funds, personnel turnover, and any other factors affecting employment levels, should be anticipated, with a view to maximum utilization of vacancies for the placement of employees who might otherwise become surplus.

B. Within the Civilian Personnel Office, enough employees should be trained, as a unit, to process any reduction in force that may become necessary and to operate outplacement programs.

C. Supervisor development programs should include the basic principles and procedures of reduction in force.

D. When it becomes apparent that a reduction will become necessary, preliminary determinations concerning the extent of the RIF, the rights of employees likely to be affected, and other considerations, should be made known promptly. Delay in getting necessary RIF under way almost always results in more drastic and far-reaching effects than would otherwise have been the case.

E. The Office or Personnel Management recommends, as a desirable personnel practice, letting employees and their (exclusive) Labor Organizations know in advance the extent of the area within which they will compete in the event of reduction in force. Accordingly, competitive areas should be made known, through appropriate media, in advance of any

reduction in force. Any change in competitive area should, of course, be similarly made known to employees and the exclusively recognized employee Labor Organization(s).

14.10.5 Advice and Assistance to Employees.

A. Employees should be given the maximum feasible information concerning reduction in force. Appropriate media are activity newspapers and group meeting; the latter, since they provide an opportunity to ask questions and clarify misunderstandings, are desirable. It follows, of course, that supervisors should be fully informed in advance, so that they may be in a position to give clear, factual, and complete explanation to their subordinates.

B. Navy's Department pamphlet entitled "Trade Talk" special issue 1973 No. 1. This special issue "Mechanics of a RIF" explains reduction in force procedures and covers the points in which all concerned are most likely to be interested. Activities undergoing RIF are urged to make this pamphlet available to all employees.

C. Outplacement programs should be tailored to the locality, the size of the reduction in force, and the categories of employees affected.

14.10.6 Retention Groups and Subgroups. Relative retention preference for reduction-in-force action is based on tenure, veteran preference, length of service and performance rating.

A. Initially, employees are placed in Retention Group I, II or III on the basis of tenure, as described in the following paragraph. Within each competitive level all employees in Retention Group III are reached for action before any employees in Retention Group I. Employees who are serving under appointments limited to one year or less and employees whose current performance ratings are unsatisfactory are not in retention groups and are not listed on retention registers.

B. Group I comprises, in general, career employees who have completed probation and are not serving in obligated positions: Group II comprises, in general, career-conditional employees and career employees in obligated positions: Group III comprises those serving temporary appointments pending establishment of register, those holding indefinite appointments, and nonstatus employees.

C. Within each retention group, employees are divided into two subgroups. Those who are entitled to veteran preference are in subgroup "A" and all others are in subgroup "B". Within each retention group all employees in subgroup "B" are reached before any employee in subgroup "A".

Within each retention subgroup, employees have relative retention preference in the order of their total length of Federal service.

14.10.7 Length of Service.

A. Establishment of Service Computation Date. Activities

1. The date of his entrance of duty, if he had no previous creditable service.

2. The date obtained by subtracting his total creditable previous service from the date of his latest entrance on duty.

3. The date obtained by subtracting from (1) or (2) above the service equivalent of four additional years of service (if the performance rating of record-previous period-is Outstanding).

14.10.8 Summary of Reduction in Force Procedure.

A. Competitive areas are established according to primary subdivisions of an agency. In the field service each naval activity usually constitutes a competitive area.

B. Competitive levels within which employees compete for retention, are established in each competitive area. Positions in a competitive level must be similar enough that interchange of personnel, without undue interruption of work, is feasible.

C. Within each competitive level employees are placed in *retention groups* according to tenure (kind of appointment).

D. Retention groups are divided into subgroups separating employees entitled to veteran preference from non-preference employees.

E. Within each subgroup employees are ranked in order of length of Federal service.

F. When a reduction in force in any competitive level becomes necessary, employees are reached for action in the order of their subgroup standing and within their subgroup in the order of length of service - BOTTOM UP.

G. Employees reached for reduction for force action compete, on the basis of relative retention preference, for positions for which they are qualified but which are occupied by other employees with lower retention standing.

H. Employees who cannot be placed in the activity are separated. Those having Career tenure, however, are accorded certain reemployment rights in the Navy and elsewhere in the Federal service.

PART 11 - EQUAL EMPLOYMENT OPPORTUNITY

14.11.1 Equal Employment Opportunity. To insure the continuance of an affirmative, purposeful and imaginative approach to full implementation of the Equal Employment Opportunity Program, each individual activity must develop meaningful action programs. Each activity (includes headquarters offices) must issue an Affirmative Action Plan tailored to meet the needs of its situation and local conditions, specifying practical, realistic, short and long-term goals, and target dates.

Commanding Officers must take the necessary action to

conduct a continuing evaluation of EEO and related programs and to make recommendations for changes and improvements. (Consideration should be given to assigning this responsibility to the EEO committee.)

3. A local Affirmative Action Plan published for minority groups and women setting forth specific goals and target dates.

4. NAVEXOS P-2411 (Poster) properly annotated and posted on all official bulletin boards.

5. A continuing dialogue established with community minority group leaders.

6. Specific recruitment efforts in predominantly minority communities and schools, in women's schools, and through contract with minority and women's organizations, groups, and leaders. Integrated recruiting teams should be used for recruitment whenever practicable, particularly in predominately minority schools.

7. EEO included in supervisory development programs on a regular basis.

8. A training program designed to provide an opportunity for the disadvantaged to improve their qualifications for advancement.

9. Minority employees and women participating on an equal basis in training programs, detail assignments, temporary promotions, and additional pay assignments.

10. Minority group members and women represented on promotion boards and other boards and committees where membership is appointive.

11. Measurable improvement in the status of minorities and women at the activity.

12. Achievements of individual minorities and women published in appropriate media including particularly the minority press, women's section in newspapers, women's publications, and in station publications.

13. Activity program accomplishments and/or progress published at least annually.

14. Discrimination complaints, both formal and informal, processed and resolved expeditiously.

15. Organized employment groups encouraged to make substantial contributions to the successful achievement of EEO goals.

16. At least semi-annual review by the head of the activity of EEO accomplishments with department heads.

Line management officials have a continuing responsibility to actively support the equal employment opportunity policy and to communicate this support to subordinates. They must insure equality in determining qualifications, selection, promotion, training, details, discipline, and awards of respect to motivating, training, and developing minority personnel and women, as well as other employees.

The civilian personnel officer and his staff occupy key roles in the Equal Employment Opportunity Program. They are responsible for many functions involving employment, training, promotion, and employee counseling which have a critical impact on the effectiveness of the program. All personnel office employees should be held responsible for assisting in developing and executing aggressive, affirmative action, plans and projects.

Each Commanding Officer is designated as the Equal Employment Opportunity Officer (EECO) of that activity.

Head of activities must appoint sufficient EEO Counselors to meet the activities' need to maintain an open and sympathetic channel through which employees and applicants may raise questions or grievances and get resolutions. Before filing a formal discrimination complaint, the complainant must meet with the EEO couselor. In this regard, physical dispersion and ready accessibility, along with weight of numbers, should be given careful consideration. An Equal Employment Opportunity Coordinator is normally designated at each activity. The coordinator should be of sufficient stature in the activity to merit the respect and cooperation of senior military and civilian managers.

Each activity normally designates a person to serve as special advisor to the activity head on the Department of the Navy's Action Program for Women and a Spanish speaking coordinator. Ideally, this collateral designation should be a female employee working in a professional or technical level on par with male employees. She should be interested in advancing the program as well as capable of devising imaginative approaches and presenting the Department of the Navy's program before various groups.

Each activity must also establish a committee on equal employment opportunity to serve in a staff advisory capacity to the activity head. Specific functions and responsibilities of the EEO committee are to be determined by the activity head. Guidelines are contained in CMMI 713-D. Although the functions of the committees may vary, depending on the local situation and command policy, the relationship of the committee and the EEO Coordinator should be made clear. The committee should function in an advisory capacity.

PART 12 - LABOR-MANAGEMENT RELATIONS IN THE FEDERAL SERVICE

14.12.1 Labor-Management Relations in the Federal Service. Beginning with Presidential Executive Order 10988 in 1962, EO 11491 of 1969, EO 11616 of 1971, (11636 of 1971 - State Dept. only) and EO 11838 of 1975, the Federal Government recognized the right of its employees to be represented and to bargain collectively with their employer, and to negotiate agreements governing their relationship. Currently, more than half the Navy civilian employees are covered by such contracts. Very often, the PWO will be required:

1. To deal with employees within his department in a manner stipulated by terms of a negotiated agreement.

While the business of collective bargaining has for almost a century been a way of life in many private parts of our economy, collective bargaining experience in the public sector spans little more than a decade. In other words, management in the public sector is often temperamentally unequal of the task, as well as being unskilled for it. Public sector management, having been insulated from the main stream of industrial activity with respect to labor-management relations, must learn and learn quickly, to operate within the prescriptions imposed by new concepts of employee relations.

EO 11491 as amended (by 11616, 11636 and 11838) lists certain management practices as unfair, i.e., management shall not:

1. Interfere with, restrain, or coerce an employee in the exercise of the rights assured by this Order.

2. Encourage or discourage membership in a labor organization by discrimination in regard to hiring, tenure, promotion, or other conditions of employment.

3. Sponsor, control, or otherwise assist a labor organization, except that an agency may furnish customary and routine services and facilities under section 23 of the Order when consistent with the best interests of the agency, its employees, and the organization, and when the services and facilities are furnished, if requested, on an impartial basis to organization having equivalent status;

4. Discipline or otherwise discriminate against an employee because he has filed a complaint or given testimony under the Order;

5. Refuse to accord appropriate recognition to a labor organization qualified for such recognition; or

6. Refuse to consult, confer, or negotiate with a labor organization.

It has been said that management gets the type of union and union leadership it deserves. If management accepts labor-management relations as an unwanted obligation, and lets this be known, then it will likely get non-cooperation from the union and the union's leadership and little, if anything, will be realized from the investment management makes in this program. If, on the other hand, management really believes in the objectives of the program, and lets this belief be known, then it is more likely that the relationship will be productive and will contribute to the effective conduct of the public business.

The union can greatly assist management in identifying problems, pinpointing weaknesess, suggesting improvements, and otherwise helping to accomplish the mission in an efficient and economical manner.

The first order of business for the PWO, given the existence of negotiated agreement, is to study it-not just read it. FPM 711 should also be studied. Living under the contract can be a positive, cooperative experience. It can also be an exasperating, counter-productive experience. The relationship between line managers and the union steward is

steward as follows:

"A shop steward is the most important man in the Union. He has often been called the 'backbone' of the Union. To the members of thousands of Locals he is 'Mr. Union.' What the member thinks of the union and the kind of support he or she will give depends to a great extent on the efficiency of the shop steward. He is the leader of the shop, office or department.

"A Union may have the best group of officers and the best executive board, but with incompetent Stewards the members are helpless. Your agency, workshop or office may have the best policies that can be written, but without an informed Shop Steward they will not be carried out. Both Union and Management are powerless to function properly without competent Stewards.

"We repeat, it is the Steward who is Mr. Union to the members in the shop or office and to the supervisor. The supervisor rarely sees any of the union officers, and even the dues-payers seldom meet the officers. The person they come in contact with is the Steward as he accepts applications, collects dues, and is the one to contact with gripes and grievances. Since he holds such an important position in the Union, and the prestige of the union depends on his every action, he should be well informed regarding his duties, his responsibilities, and the rights of the members.

"The Shop Steward and the supervisor play a vital part in the production of any department. A definite correlation exists between the manner in which their relationship is maintained on a day-to-day basis as well as the efficiency of the department. The Shop Steward recognizes the fact that the supervisor is the head man in the department, and, as such, is responsible to higher management for the quality and quantity of the work. It might be well to point out that in more enlightened situations he is also held responsible for maintaining sensible relationships with the employees. The supervisor is the key man for management. The Shop Steward is the key man for the union. These two must work together in good faith on department problems. They must promote and maintain morale and friendly relations. They must be willing to cooperate. They must be anxious to settle grievances as they arise, exercising a positive and friendly

The following procedure applies to all cases involving any action that is appealable to MSPB and which include an allegation of unlawful discrimination ("mixed cases"):

"The reputation of a good Steward does not rest on the number of grievances he settles, but on the number he settles in the primary state. He knows the proper way to approach the supervisor, or any member of management, is as an equal seeking the solution to a common problem. Remember you are not two gladiators in an arena about to fight. Only people who are not sure of themselves feel the need for a front and appearing aggressive, domineering and belligerent. *You have nothing to fear,* being fully protected by controlled temper and your sense of humor. Be positive and friendly in your approach-never hesitant, disagreeable and on the defense."

14.12.2 Principal Right of Unions One of the union's most prized rights under exclusive recognition is that management is required to consult with union representatives on matters affecting employees. The management team will undoubtedly

desires, and expectations of employees and the union.

If management does not accept the steward (ignores him or challenges his right to be involved in the process), he may act in a number of undesirable ways. To illustrate, he may actually go out and solicit grievances or he may agree to prosecute unjustified complaints, just to dramatize his availability and usefulness to employees; or he may try to get employees to look suspiciously at innocent management acts. Indirect reaction affecting the steward is where a potentially cooperative steward becomes so frustrated by management indifference or hostility that the employees begin to feel that he cannot effectively represent them. When this happens, the union will most likely look around for a stronger, more aggressive steward and, as a result, this can trigger further problems.

The other side of the coin, of course, is where the steward feels that management accepts him and acknowledges his right to participate in the making and administration of the 'law of the shop.' Given this situation, and assuming that he is also a reasonable man, he will most likely try to avoid such action as soliciting grievances or prosecuting unjustified complaints. The supervisor will also be able to enlist his aid in communicating to the employees the reasons for management objectives which are compatible with employee goals. Finally, if the steward feels free to come to the supervisor, he will likely keep the manager better informed about the way in which employees are responding or may respond to management plans as well as providing helpful suggestions from time-to-time.

14.12.3 Supervisor-Employee Relationship Misunderstandings with respect to the contract will arise over a variety of issues. One of the most common source of such problems is in connection with the administration of work rules governing such subjects as the distribution of overtime, wash-up time allowances and leave administration. Even with a written contract, these subjects will probably continue to be sources of misunderstandings, but much can be done to bridge the gap between management and the workforce and lead to an improved labor-management relationship.

The supervisor, by virtue of his position, can do much to foster understanding between himself and the employee. The simple act of starting a conversation, for example, is a relatively easy matter for most supervisors but something which many employees approach uneasily. However, if these "conversational" contracts are limited to periods when the employee is upset about this or that problem which the supervisor is discussing, they may lead to further misunderstanding rather than greater understanding. In this area, however, one other caution needs to be mentioned-the supervisor must make sure that he does not cause misunderstandings between the employee and his representative (the steward) in his effort to avoid supervisor-employee misunderstandings.

14.12.4 Supervisor-Steward Relationship. The difficulties involved in maintaining an effective supervisor-employee working relationship are compounded when the employee also happens to be the union steward. The source of misunderstanding often centers around the

what is to be considered 'internal' union business versus 'representational' activities.

Stewards are entitled to a reasonable amount of official duty time to perform their 'representational' activities but official time for internal union business is prohibited. Typical of internal union business are the collection of dues from members of the unit and the recruitment of new members. Since situations could arise as the result of either deliberate action or an honest misunderstanding of the terms of the contract, the supervisor is faced with a substantial challenge in his efforts to make the supervisor-steward relationship a productive one.

The supervisor of an employee who is also a union steward has, by definition a dual supervisory responsibility. First, he must give the same supervision to the employee-steward as he does to any other employee in the performance of his assigned duties. Second, and this is often the more important of the two responsibilities, the supervisor is management's monitor of the employee when he is carrying out his contract administration responsibilities for the union. It is here that the supervisor becomes wide open to criticism from both management and the union because he must often decide what are reasonable bounds for his own employee, who is engaged in administering a contract covering employees who may or may not work in his area of responsibility. Since the employee is, in effect, serving two masters when carrying out his steward role, there are numerous opportunities for misunderstanding between the supervisor and the employee-steward. The best guide for the supervisor if he is to be successful in this effort is to know the scope of authorized steward activity and to work with the steward to develop practical ground rules to this effect from the outset of the relationship.

14.12.5 Manager-Supervisor Relationship. Another area where misunderstandings regarding the terms of the contract sometimes arise is the manager-supervisor relationship. The situation for the first-line supervisor is considerably different from that of the middle manager or the top manager level. The first-line supervisor must get a full day's work for a full day's pay from each worker. The top manager is concerned with policy and planning matters, setting up and maintaining an effective communications system, and generally, doing what he can to provide an overall climate that will help assure employee-management cooperation. The middle manager is just that; a "middle man" who is responsible for overseeing the first line supervisor-employee relationship taking place at the primary action level. He must make sure that the policies and practices established by top management are, in fact, implemented and followed by line supervisors and the work force. Finally, he serves as a communicator between line supervision and top management.

These differences in point of view affect both the contract administration process and the manager-supervisor relationship and, directly or indirectly, create conditions which can cause misunderstandings. Sometimes top managers fail to get a complete factual picture of the situation on the line. Not knowing what the facts are, they may fail to give the lower level supervisor needed support.

correct guidance or proper interpretation of what the contract was intended to mean in situations of this sort. This, in turn, can lead to either lax administration or improper application of the terms of the contract by lower level supervisors (knowing that they have erred in carrying out the terms of the contract can lead, in turn, to selective filtering by the line of their upward communications to top management). As a result, communications between the various levels of management can completely break down.

Other possible barriers to manager-supervisor understanding include differences in interpretation and application of contract provisions; or permitting the union steward to bypass one or more echelons of supervision in his day-to-day dealings under the contract. While the reason for manager-supervisor misunderstandings are often different, the practical results are the same - an adverse impact on mission accomplishment.

What, then, can be done to avoid misunderstandings within the management team which can result in poor contract administration? The answer, of course, is that there must be effective communications up and down the management line-so that supervisors know how top management expects them to administer the contract and otherwise carry out the labor-management relationship. (This same principle also applies to reducing inter-departmental differences-exchanging information across departmental lines.) Lower level supervisors must be encouraged to seek advice, counsel and support when they are unsure of their understanding of the contract as it applies to a particular situation. In like manner, they should feel free to suggest changes when they feel that certain provisions are impractical or otherwise contribute to disputes. Most of all, it is essential that the first-line supervisor not be led to believe that he is isolated as the man in the middle between the demands of top management and those of the union and the employee.

PART 13 - EMPLOYEE SERVICES

14.13.1 Employee Services. It is established Navy policy that a program of employee services, based upon local needs and contributing to the efficient performance of official duties, be set up at each activity. The purpose of such a program are (1) to keep employees informed of management policies and rules; (2) to limit the occasions where work processes must be interrupted so that employees may tend to personal affairs; and (3) to promote sound and cooperative relationships between employees and management officials.

Information services include indoctrination handbooks and materials - which have sustaining reference value - bulletin boards, public address systems, and station newspapers.

In the category of financial services, the most commonly used are employee relief and welfare funds, credit unions, banking facilities, income tax assistance, and locations for payment of utility bills.

Among the special services generally provided are: housing and transportation assistance; blood banks; counseling; notarial acts at no charge, and outlets for the purchase of protective apparel or equipment not ordinarily furnished by the Government. The solicitation for contributions for patriotic, civic, and charitable causes is generally classed as an employee service. Nearly all employees are eligible and elect to participate in Federal Employees Group Life Insurance and Health Benefits Programs.

The Navy makes available to its employees the facilities and assistance necessary to provide in-plant food service by means of cafeteria, lunch counters, snack bars, or vending machines. At field activities, the development and execution of plans for operation of the service become the functions of a good service board, subject to approval by the head of the activity. Such a board normally consists of from 5 to 7 employees appointed by the head of the activity. The latter may, however, arrange to have some of all of the members designated by an elective process or nominated by employee groups. Food services may be operated directly by the board through employment of a manager or by commercial enterprise as concessions. The primary objective is to make nourishing food available to the greatest possible numbers of employees at the lowest possible price consistent with conservative financial management.

The Navy recognizes the need for individual employees and groups of employees to participate in welfare and recreational activities and encourages the formation of associations to conduct such activities. Civilian food service, welfare and recreational activities are authorized non-appropriated fund activities, deemed by the Navy to be an integral part of the Department. As such, they are instrumentalities of the Government and are entitled to all the immunities and privileges pertaining thereto.

CHAPTER 15
PUBLIC WORKS COLLATERAL RESPONSIBILITIES

The Public Works Officer, like any other officer at a Naval activity, normally has many collateral duties. As a facility "specialist," he can usually depend upon having several unique collateral duties and management functions. Some are presented and discussed in this chapter. Many officers, especially junior officers, feel that they have so many collateral duties that they have no time for their primary duty. Further, they sometimes (although not often) feel that their primary duty is really not very important anyway. A special word of advice is offered here about collateral duties. Often an officer's *service reputation* is made by how well he performs his collateral duties and not his primary duty. Therefore, look at the collateral duties you have been assigned and approach them with a positive, rigorous attitude. In all probability you will have one or more collateral duties with which you can really make your mark; possibly for years to come.

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REFERENCES

1. *The Watch Officer's Guide*...United States Naval Academy, Annapolis, Maryland (latest edition)
2. OPNAV Instruction 5100.8-16 (Series) *Navy Directives on Safety, Accident Reporting Procedures, etc.*
3. NAVMAT P-5100 (Series) *Safety Precautions for Shore Activities*...Outlines Safety considerations and procedures for various functions at a Naval Activity
4. NAVMAT P-10470, July 1969, *Safety Equipment Manual*...Deals with safety equipment
5. NAVSO P-2427, *How to Negotiate Labor Management Agreements*...How to do it negotiator's guide
6. NAVPERS 18359A, Marth 1965, *Work Simplification for Naval Units*
7. NAVFAC MO-325, *Work Simplification for Maintenance of Public Works and Public Utilities*
8. NAVPERS 10899-B, *Disaster Control (Ashore and Afloat)*
9. NAVFAC Instruction 3440.12, Subj: *Navy Disaster Control Guidance; promulgation of*

15.1.1 Military Duties. In the day to day press of Public Works business, it is possible to lose sight of the fact that the officer in Public Works is first and foremost a Naval Officer, commissioned by the President or Congress to execute military functions. Second, the officer in Public Works is a Civil Engineer Corps Officer, representing not only the Civil Engineer Corps and Chief of Civil Engineers but also the Commander, Naval Facilities Engineering Command. The PWO's role as professional engineer and facilities manager must always play a secondary role to his military role. As a Naval officer and Civil Engineer Corps officer, the PWO exercises his commission in carrying out military duties — CDO, OOD, Public Works Officer — and by functioning as a division officer for a special enlisted man — the Seabee — who might be assigned to the Department.

15.1.2 Watches. As Command Duty Officer or Officer of the Day, the Public Works Officer has the opportunity not only to function in a command capacity, but also to utilize the on-duty time to inspect the activity and after-hours functions with an eye toward improving his department's services or functional organization. As a word of advice, the PWO should not attempt to get off of a command watch and establish a separate officer's watch for Public Works. This action only tends to drive a wedge of misunderstanding into the gap between the PWO and their officers at an activity, and the isolation of a separate watch removes the PWO from the "mainstream" of command activities.

A. **Public Works Watches.** The foregoing statements do not mean that there will not be separate Public Works watches at a Naval activity. There should always be, for example, some form of 24-hour emergency service desk. Whether there is a fully manned section or merely an answering service to field emergencies, is a function of local circumstances and policy. There should always be some form of contact with Public Works, however. Another watch sometimes found in Public Works Departments is a 24-hour taxi service, either within the Transportation Division or assigned as a function of the OOD's watch section. At a station where steam is generated, there will be a 24-hour boiler watch (in this regard compare costs of manned and unmanned boiler systems), or where power is a critical commodity (either primary or emergency) you will usually require a separate power plant or generator watch. As with any other department head, the PWO is always "on-call" to command. At large activities where there are several CEC Officers in Public Works, there will usually be a rotating telephone watch to relieve the PWO of receiving anything but bona-fide emergencies.

B. **The Watch Officer's Guide** is recommended as part of the Public Works Officer's library for reference in watch standing matters. In addition, there will always be local instructions implementing the various watch procedures at the activity.

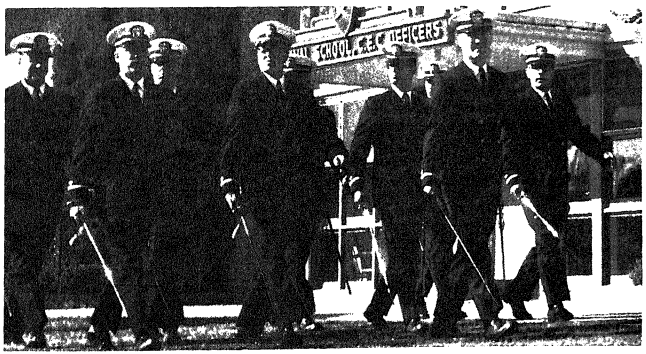
15.1.3 Division Officer. As Division Officer for enlisted personnel assigned to the Public Works Department, the PWO carries a full spectrum of responsibilities centering around the administration of enlisted personnel. These duties include:

A. Maintaining a Division Officer's notebook in which Personnel Data Cards (NAVPERS 2840) for each enlisted man in the Seabee Division are kept.

B. Encouraging preparation to qualify for advancement in rating.

C. Seeing to the messing and berthing of the men.

D. Seeing that the men are working within their rate and rating.



F. Administering liberty and leave.

G. Carrying out personnel inspections.

H. Providing personal example and leadership.

I. Insuring the men receive sound career counseling.

A Word of Advice: Your Seabees are dependent upon you to assure they get a "fair shake" in the shore establishment. You, and not command, are the expert in their particular qualifications and your primary interest should be in assuring that they are not misused. By this it is meant that Seabees are not meant just to man duty driver sections — nor should they be denied sufficient work in their rating to keep current their skills and qualify for advancement. There are perfectly legal and productive outlets for each and every Occupational Field XIII rate and rating in the shore establishment. Just one of these is the Self Help Program, wherein Seabees are permitted to *supervise* other station military personnel in improving their barracks, welfare, and recreation facilities. There are any number of others and it is the PWO's job to find them. Remember that you have all the resources of the station personnel officer at your disposal in this capacity.

15.1.4 The Station Planning Board. This is the board who among other functions decides what minor construction/alteration projects the command will fund with its limited resources (see paragraph 6.2.1.B.2.d). In this respect it performs a vital function of removing the burden of deciding improvement priorities from the PWO's back. The planning board is normally chaired by the Executive Officer and has as members officers or officials from the various operating departments. The PWO normally serves as a staff member and coordinator for the board. He is usually tasked with setting up meetings, assembling and presenting lists of desired improvement projects along with cost estimates, pros and cons, etc., and keeping a record of board decisions. The station planning board can also function in preparation of various Shore Facilities Planning Documents such as the Logistics Support Requirements Plan or the Basic Facilities Requirements List (see Chapter 4). It can also be an important sounding board to establish command priorities at budget time.

15.1.5 Disaster Preparedness Officer. Commanding Officers of major Naval shore activities usually have the additional responsibility of Disaster Preparedness. To assist him in carrying out his responsibilities he will designate an officer in his command as the "Disaster Preparedness Officer."

NAVFAC is CNO's "Chief Technical Advisor Ashore" and, as such, is responsible, in part, for coordinating the administration of disaster preparedness program for all Naval shore activities and providing policy guidance relating to criteria for organization, manning, training, equipment, and inspection of disaster forces. Because of NAVFAC's role, CEC officers play an important part in the disaster control organization of the shore activity and are sometimes designated as the Disaster Preparedness Officer.

Functions of the Disaster Preparedness Officer are generally:

B. Planning. Prepare and maintain a comprehensive Disaster Preparedness Plan.

C. Training. Coordinate recurring training with each level of the Disaster Control Organization and provide sufficient follow-up to ensure a working and meaningful training program; procure and distribute special equipment and supplies.

D. Advising. Assemble, maintain, and provide the expert knowledge on all instructions, reporting requirements, intercommand relationships, and civilian/military/Civil Defense responsibilities that are applicable or required on an every day basis, in a disaster alert status, or during and after a disaster. In this capacity he is the Disaster Preparedness Advisor to the Unit Commander.

E. Advertising. Insuring, by any means, that each and every person at the activity knows what he is to do in all emergency situations.

References which form the basis for an understanding of Disaster Preparedness are listed. They, in turn, provide references to many other sources of information. Another source of information is the Defense Civil Preparedness Agency (DCPA) and/or the local Civil Defense Officials.

1. OPNAVINST 3440.13C of 5 March 1975, Subj: *Disaster Preparedness Ashore*

2. NAVFACINST 3440.12 (Series), Subj: *Navy Disaster Control Guidance; promulgation of*

15.1.6 Labor Management Relations Committee. Roughly only 20-25% of the private sector of the work force in the United States eligible to be covered by a Labor-Management Contract are so covered today. However, 55-60% of the Navy's civilian work force eligible to be similarly covered by negotiated agreements are. The Public Works Officer, therefore, as a major employer of blue collar civilian employees will likely be called upon to contribute to Labor-Management Negotiations, either as a member of a management team, or as chief negotiator or "managment spokesman." It goes without saying that labor will have on its side of the table a trained negotiator, usually contracted, and therefore, management must "do some homework" before negotiations commence or experience some frustrations. There are many guides to labor management negotiations and copies of agreements available through the Office of Civilian Personnel Management (OPM) and their regional offices, if not through your local Civilian Personnel Office. Day to day labor management relations are covered in some detail in Chapter 14. There are also publications available which explain how to administer labor management agreements. Your Civilian Personnel Office will be able to assist you in these matters and it behooves you to educate yourself in this area.

15.1.7 Industrial Health and Safety. Although the PWO will not normally be assigned as "Safety Officer," he is nevertheless deeply involved by virtue of the nature of his business. Although not abnormally hazardous, Public Works

sources. The basic defenses against excessive industrial accidents are publicity and training of personnel — making the employee conscious of potential hazards and improving safety measures in his day to day performance of duties. The responsibility for safety is not limited to the Public Works shops either, but extends into every facility on the base. The primary Navy guides for safety practices are in the OPNAVINST 5100-8 to -16 series, the NAVMAT Manual P-5100, *Safety Precautions for Shore Activities*, and the NAVMAT Manual P-10470, *Safety Equipment*. These books should form part of your Public Works Library.

If it has not already, your base may soon feel the impact of the Williams-Steiger Occupational Safety and Health Act (OSHA) of 1970, Public Law 91-576. It was not until President Ford issued Executive Order 11807 on September 30, 1974, that the different Federal agencies had specific orders on implementing the OSHA within the federal service. The Law and the Executive Order combine to require two fundamental duties of Public Works Officers and all other Navy supervisors:

1. Provide employees a work place free from recognized hazards and

2. Comply with standards set by Agency heads which will be "consistent with" those already issued by the OSHA Administration, under the Secretary of Labor.

The two documents also combine to make these very specific and often tougher OSHA standards applicable overseas and to uniformed personnel, as well.

As of this writing, there is much for the Navy to do to fully comply with the Law and the Executive Order. New Navy-wide standards are as yet under preparation. Navy accident record-keeping systems are being modified to match those used by the OSHA Administration. But, while these top level efforts are underway, the Public Works Officer should be moving so his Department and Base are not overwhelmed by the new programs.

DO:

1. Learn the standards already issued by OSHA which apply to the work done in your shops and around the base. (Available from Superintendent of Documents.) Some Standards apply to your minor construction effort, too.

2. Provide safety training for your supervisors and employees.

3. Apply the current standards of NAVMAT P-5100, Safety Precautions for Shore Activities, to your shops and spaces. Budget for replacement or modification of unsafe equipment or areas. Do not be caught short.

4. Involve employees. Allow (and require) employees of each shop or work area to name a safety representative.

5. Provide safety equipment where it is a requirement of a person's job.

6. Ensure your accident reporting is in an up-to-date

DON'T:

Give advance warning of an OSHA inspection of your spaces or a contractor's site. It is a criminal offense.

For assistance, try the Base Safety Office if your base has one, the EFD, or write to:

Occupational Safety and Health Administration
1825 K Street, N.W.
Washington, DC 20006

15.1.8 Training. Most of the routine problems encountered by a Public Works Department can eventually be traced to the fact that someone didn't understand what needed doing or what the proper procedure or technique was. Inherent in the Civil Service System is the right of a good employee to "work his way up the ladder" in either the blue or white collar registers. Thus, as an example, a planner/estimator-inspector at an activity might have begun his career 20 years earlier as a laborer and progressed through various journeyman and supervisory jobs to his present position. In this position he is responsible for estimating with a high degree of accuracy, utilizing Engineered Performance Standards and his own experience and judgment, what the commitment of each work center will be toward any given specific job order. The purpose of this procedure is to permit orderly shop scheduling and job accomplishment — thereby permitting increased production. Would it come as a shock to realize that this individual has never been trained as a Planner/Estimator and doesn't understand the use of EPS? Unfortunately, this and similar situations are not uncommon. There are Maintenance Control Division Directors who don't really understand the objectives and concepts of Maintenance Management; Administration Division Directors who cannot properly prepare or analyze a report; and supervisors who know nothing about filling out personnel evaluations. The fault? Management! Managers, meaning the Public Works Officers, have been unable to "afford the time" for the formal training of employees and have accepted the resultant inefficiencies as normal characteristics of the "bureaucracy" or even the Civil Service employee!

Even the most rudimentary knowledge of management includes the precept that training pays for itself many times over. In addition, there are certain Public Works positions which require formal licensing in order to operate. In the blue collar areas, you will find requirements for licensing of:

Boiler Inspectors
Elevator Inspectors
Boiler Plant Operators
Sewage Plant Operators
Water Plant Operators
Crankcase Emission Device Certifiers
Pest Controlmen

All engineers and architects working for Public Works, both civilian and military — should be professionally registered.

There are two types of training available to a PWO for use

available from two principle sources — the Civilian Personnel Office and the local Engineering Field Division Program Management Office. There is usually a surfeit of training available and the problem becomes one of selecting rather than finding. In addition to increasing efficiency, formal training reaps many benefits in employee job satisfaction, interest, and loyalty. The electrician who has been sent to one week expense paid schooling in generator maintenance at a civilian company will return to the job with the feeling that he is now an indispensable member of the team with true purpose rather than just an employee.

B. On-the-Job Training takes many forms, beginning with good supervision at the job level and ending with the PWOs taking the time to let each and every employee know what the objectives, policies, and plans of his department are. Training films, lectures, discussions and seminars are available by the bushel. The chief problem in instituting and maintaining OJT is in keeping a viable organized program in motion after the first stab. This can be overcome by (1) designating *someone* as overall training coordinator, and (2) making a schedule out in advance and following it.

PART 2 — OTHER RESPONSIBILITIES

15.2.1 Self Help. The self-help program is a method of performing maintenance, repair, and/or construction on personnel support facilities such as bachelor enlisted quarters, recreation and welfare facilities utilizing military labor to perform the work. The military labor consists of

OPNAVINST 11000.8 (current) sets both the policies an responsibilities for the development and execution of a loc self-help program. DOD Directive 1135.2 of 5 August 19 sets forth the policy for the procurement of services f maintenance, repair, alterations and new construction of re property within DOD in continental United States an Alaska. This publication specifies the conditions under whic military construction units and military personnel, other tha organized military units, may be used to procure the services. It is important for the Public Works Officer know and understand the limitations imposed by the DO Directive. The following types of work are considere legitimate projects for self-help accomplishment:

1. Living Facilities
2. Temporary Lodgings
3. Parking Garages/On-Base Parking
4. Trailer Parks
5. Locker Clubs
6. Recreation Clubs and other welfare facilities

In order to insure that work accomplished under the self-he program is done in a professional and economical manne reliance is made on Civil Engineer Corps Officers and Seabe resources for professional and techical guidance of personn unskilled in the construction trades. This technical expertis can come from several organizations which could include t Public Works Officer, PWD Seabee Division, Constructio

FIGURE 15-2
NAVAL SCHOOL, CIVIL ENGINEER CORPS OFFICERS

Battalion Unit (CBU), Reserve Naval Mobile Construction Battalion (RNMCB) or NMCB.

The planning, authorization and funding of self-help projects is carried out in the normal manner in accordance with current instructions. A continuing public relationships program should be maintained to ensure that all local government employee and trade union officials understand and are aware of the objectives of the activities self-help program and that competition with public works departments, civil service and the civilian construction industry is neither contemplated nor desired.

15.2.2 The Construction Battalion Unit. For years the Seabee shore duty billets have been scattered throughout the shore establishment with little apparent logic. Skilled Seabees had to serve ashore after years at sea, so every opportunity was taken to obtain Seabee shore billets, any billets, regardless of functions assigned.

Consequently, until late 1969, Seabees ashore could be found doing almost any job, but rarely were their jobs related to their training and skills.

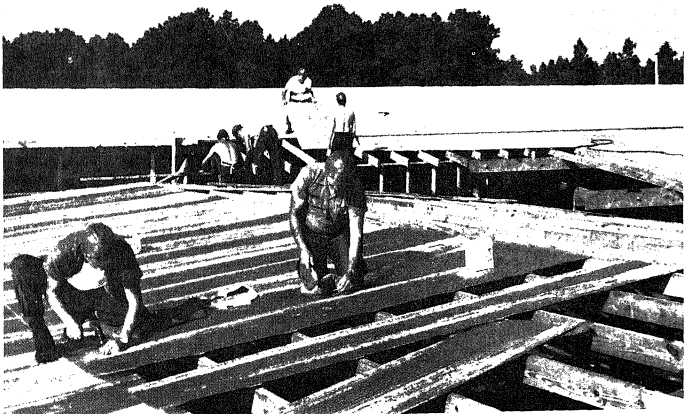
Commencing in late 1969, the Chief of Civil Engineers obtained approval of the Chief of Naval Operations and the Secretary of the Navy to organize Seabee units, now called CBUs, at centers of Naval activity, to more effectively utilize these Seabee shore billets; to improve their peacetime training; and to enhance their readiness posture.

The CBUs are now taking the lead in the self-help program, in the immediate geographic areas where they have been established. The marvelous combination of the high priority self-help program, coupled with Seabee resources, results in a program with many positive Navy-wide benefits and direct training and readiness value to the Seabees.

The typical Construction Ballation Unit is platoon sized at 45 men and one Civil Engineer Corps Officer as Officer-in-Charge. It is equipped with 20-30 pieces of heavy construction equipment, basic tool kits, weapons, and combat gear. It is designed to be self-sufficient for construction operations with almost all assigned personnel capable of productive labor.

A CBU is capable of taking the lead in self-help projects, and will do so with vigor. Production will not consume all of the unit's time, as some time each week will be set aside for military training, including disaster recover, weapons familiarization, mount-out exercises, and related exercises.

The Seabee in the post-RVN Navy can now look forward to excellent duty and meaningful employment in every Seabee billet, at sea or ashore.



401	Great Lakes, Illinois
402	Pensacola, Florida
403	Annapolis, Maryland
404	Memphis, Tennessee
405	San Diego, California
406	Lemoore, California
407	Corpus Christi, Texas
410	Jacksonville, Florida
411	Norfolk, Virginia
412	Charleston, South Carolina
413	Pearl Harbor, Hawaii
414	New London, Connecticut
415	Oceana, Virginia
416	Alameda, California
417	Whidbey Island, Washington
418	Bangor, Washington

15.2.3 Work Simplification. Work simplification involves the systematic use of common sense to make work easier, cheaper, and quicker with the same or less human effort. The basic precept of work simplification is that there is always a better way — a better way to do a particular job and a better way to utilize equipment and/or personnel. Constant analysis of work at the shop and office level will not only result in dollar savings by increased efficiency, but will also instill a sense of pride in shop personnel, build morale and generally make for a more "heads up" organization. Its principal application will be in the maintenance area (Chapter 6) but it will find use in other functional areas as well.

Work simplification involves suggestions and is closely coordinated with the Cost Reduction/Management Improvement and Beneficial Suggestion Program in providing methods to evaluate and improve the way maintenance and other work is accomplished at the site. Heretofore the management systems presented in this manual have been aimed at maximizing productivity or usage through optimizing coordination and scheduling. For example, in the maintenance area we seek to plan, estimate, program and schedule work so that materials will be available on the job, men from various trades will be available when needed, and the job will therefore proceed smoothly. In work simplification we focus on the workman himself, through the eyes of the industrial engineer, critically analyze the necessity for and procedures utilized in each step, and seek to find a more efficient way.

This program has had only faltering success in the past — due largely to the reluctance of people to either institute or accept change, but with the ever diminishing availability of resources and skyrocketing costs, it would appear that further increases in efficiency will be sought through this technique. You should therefore have NAVFAC MO-325, *Work Simplification*, in your library. A more comprehensive

PART 3 — OFFICER IN CHARGE OF CONSTRUCTION/RESIDENT OFFICER IN CHARGE OF CONSTRUCTION (OICC/ROICC)

15.3.1 Contract Responsibility. The PWO, more often than not, will have additional duty orders to the local Engineering Field Division as Officer-in-Charge of Construction (OICC) for limited and/or informal contracts and as ROICC for larger contracts. In these capacities he has a separate reporting chain of command through the EFD, a separate staff, separate manuals and directives, and separate procedures — in short — a whole different job. NAVFAC P-68, *Contracting Manual*, the Armed Services Procurement Regulations, and CECOS 202, *An Introduction to NAVFAC Contracting*, are the principal references for the ROICC.

A. The OICC. Commanders/Commanding Officer of the six Engineering Field Divisions are designated as OICCs and have authority to award most NAVFAC contracts without prior approval of NAVFAC Headquarters. Contractural authority is further delegated to certain Civil Engineer Corps Officers located at established naval activities as well as other geographical areas in which NAVFAC has DOD contract responsibility. This is accomplished by the Commanders/Commanding Officers of Engineering Field Divisions appointing Civil Engineer Corps Officers to act as OICC for certain contracts within their geographical area of responsibility. When this authority has been so delegated, the appointee has the full authority and responsibility for the contracts which he administers provided they are within the stipulated limits. OICCs so designated often fill other roles, such as that of Activity Public Works Officer. When acting in a contractual capacity, the OICC derives contract authority, *not from his Commanding Officer, but from the "Contracting Officer."* The responsibilities of the OICC are extensive and include everything from advertising the contract to preparation of final payment vouchers, and release of the contractor.

The OICC becomes directly involved after a determination has been made to accomplish a particular project by contract. Should the size of the contract exceed the authority of the OICC/PWO, he will equest the Commander/Commanding Officer of the EFD to perform the OICC functions. In either case, the contract administrator acts as OICC for the contract if it is for construction, or as OIC it it is not (e.g. ARCHITECT — Engineer or Maintenance — Service Contracts).

B. The ROICC. In order to fully understand the responsibilities of the ROICC, a comprehensive review of significant functions required for the proper administration of a construction contract is necessary.

1. Designation of Inspector. When a construction contract is scheduled to be advertised, it is appropriate that both the Assistant Resident Officer-in-Charge of Construction (AROICC), who will eventually be responsible for the day-to-day administration of the project, and the inspector be designated.

2. Review of Plans. Review of the plans and specifications prior to award of the contract contributes

significantly to the reduction of the number of problems encountered during the construction phase. Therefore, the ROICC should ensure that this review is accomplished in a timely manner, with recommended changes forwarded to the OICC for incorporation into the plans and specifications by amendment, if necessary. An important part of this review is a field visit to the job site to verify existing conditions and to identify potential problems. Each potential problem which is discovered and subsequently resolved may eliminate the need for a future change order. It is appropriate for the assigned AROICC and the inspector to conduct the review, as this will allow them to become thoroughly familiar with the forthcoming job.

3. Preconstruction Conference. As soon as practicable after the award of the contract, a preconstruction conference should be held with government representatives and the contractor present. The purpose of the conference is twofold: (1) to acquaint the contractor with the numerous details of administration required in the conduct of the contract; and (2) to coordinate the contractor's construction plans with the using activity and other interested parties. A complete discussion of the preconstruction conference is in Chapter 5 of *An Introduction to NAVFAC Contracting.*

4. Record Keeping. Throughout the life span of the contract all significant actions should be documented in writing at the time they occur. This can take the form of memos to the file, letters to the contractor, etc. Proper and timely preparation of correspondence does much to improve the administration of the contract. Certain correspondence lends itself to "standard" letters which vary little from contract to contract. Included in this category are letters to the contractor concerning the submission of the Schedule of Prices, Progress Chart, etc.; explanation of the procedures for the submission of shop drawings; the expediting of materials under the Defense Materials System and a reminder concerning the inclusion of Labor Standards in the contract. Directions to the A/E for handling contractor shop drawings/catalog data submittals can also be accomplished by "standard" letter. The ROICC should continually monitor the status of replies to contractor originated questions, requests, or statements. To facilitate this, all incoming correspondence should be date/time stamped upon receipt. Also, a log of all incoming correspondence requiring ROICC action should be maintained.

5. Monitoring Contractor Progress. As the contract work proceeds, the ROICC should remain current as to contractor progress, problems encountered, changes pending and any other significant information. Frequent visits to the site of work are indispensable to accomplish the above. If the contract has been assigned to an AROICC for day-to-day administration, much of the required information should be accumulated and related by him during frequent job status meetings. Of particular value is the Inspectors Daily Report (NAVFAC 4-11013/10). These should be checked periodically for accuracy and completeness, as they form the historical basis of the government position if a dispute develops between the government and the contractor.

The first step is to inform the contractor of the requirement for timely submission of ship drawings/catalog arts. Once submitted, the ROICC should insure that they are reviewed, approved or disapproved, and promptly returned to the contractor. Second, if the contract requires an Equipment Delivery Schedule, the ROICC should ensure that it is submitted and maintained in a current state by the contractor. This submittal should be carefully reviewed to determine if any material or equipment delivery dates are incompatible with timely completion. Expediting procedures should be immediately initiated for all such items as soon as the projected late delivery is known. Expediting is accomplished by the Defense Contract Administration Service upon the request of the ROICC, in accordance with local procedures. Direct contact with the manufacturer is sometimes beneficial. Every possible effort should be made to obtain satisfactory delivery.

7. Change Orders. Change orders are formal changes to the basic contract and must be made in compliance with NAVFAC instructions and ASPR. Change orders result from design changes, changed requirements, changed conditions, ripple effect changes and constructive changes. A complet discussion of change orders is included in Chapter 4 of *An Introduction to NAVFAC Contracting.* The ROICC is responsible to ensure that change orders to not unnecessarily delay construction progress and that they are promptly initiated, negotiated and issued to the contractor.

Any potential delay of construction progress is the immediate concern of the ROICC. No delay should be accepted as inevitable until all possible actions have been taken to prevent its occurence.

8. Customer Liaison. Keeping the "customer" informed of the construction status is a most important function of the ROICC. Periodic meetings allow the ROICC to inform the "customer" of the status of construction, the anticipated completion date, and significant delays being encountered. During these meetings the "customer" has the opportunity to ask questions, discuss possible changes, and discuss plans for future occupancy of the facility. The need for good "customer" relations should be continually emphasized by the ROICC.

9. Joint Inspection. Upon completion of the construction, the ROICC schedules a final inspection conducted jointly by the contractor and government representatives. It is appropriate to note at this time all discrepancies found during the final inspection and to require the contractor to correct those determined to be at variance with contract requirements. As soon as possible thereafter, the completed facility should be formally transferred to the user. With the completion by the contractor of all stated contract requirements, the next step is to have the contractor execute releases in conjunction with his submission of the final invoice.

10. Administrative Duties. In addition to the

of Prices and Invoices. For such actions, the OICC will normally rely on the recommendations of the ROICC as the basis for his decision.

Throughout the administration of a contract, the ROICC should refer to NAVFAC P-68 for guidance concnerning responsibility for carrying out the various functions.

PART 4 — PUBLIC RELATIONS

15.4.1 General. The Public Works Officer as PWO, and also as OICC/ROICC, by the very nature of his business, has many contacts with the community. Since the Navy places high emphasis on maintaining its "public image," it is worthwhile to review some of the potential pitfalls of Navy-community relations which the PWO can help to avoid. Allied with public relations is dealing with the many and varied forms of encroachment from outside the "fence" as was discussed in paragraph 4.3.3, Chapter 4, of this manual. At the same time, the Naval activity itself can be considered a "community" or an extension of the community, and the PWO/PWD has many proven methods at his disposal to smooth the customer/PWD interface.

15.4.2 The Community. In almost every case where there is an "encroachment" problem between the military base and

are problems which relate to aircraft approach zones at Naval air stations, explosive radii at ammunition depots, radio interference at communication facilities, and waterfront usage at shipyards and Naval stations. Almost every activity will have several potential or existing encroachment problems, which may be a necessary by-product of the activity mission and function. The solution to these types of problems is a two pronged one of (1) establishing and maintaining a dialogue with the community, discussing the reasons why certain things are as they are, and emphasizing the positive aspects of a military presence in the community, and (2) keeping the community informed of future plans for the base and inviting their comments before the fact. Such participation should include various civic organizations, ranging from the Chamber of Commerce to the PTA; community officials, such as the mayor, city council, and City Planning Agency, as well as the agencies which exercise direct authority over the Navy, such as local Pollution Control Agencies. What has this got to do with the PWO? Who is better qualified to represent command to the public with respect to his "property-holder" role? The PWO should, with the knowledge and consent of his Commanding Officer, actively participate in community affairs. He should establish beachheads with the various organizations which effect public opinion and use these beachheads to "tell the Navy's side" of various present and planned actions which might

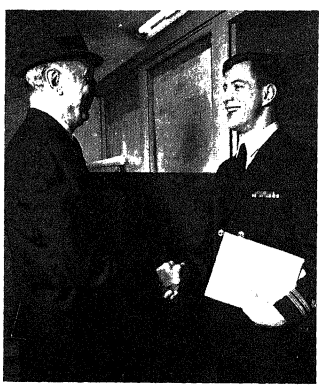


FIGURE 15-4
PUBLIC WORKS OFFICER AT COMMUNITY MEETING

elicit community reaction. By telling people in advance of what you intend to do, you will scotch most of the complaints before they are formed. Show the community what you intend to do and why.

Consideration of the impact on social and economic factors is also a required part of environmental impact assessments and statements during the concept stage of major projects.

There is a second set of benefits in this type of an involvement by a Navy CEC officer. These involve the satisfaction of being part of a community with its many professional and personal relationships, and the professional education to be derived by listening to civilian contemporaries expound on the problems and solutions at work in their sector. Even if personal involvement is not possible, the community agencies and civic organizations should be invited to review actions and proposals for development, master plans, etc., which might effect them.

15.4.3 The Activity. The Public Works Department is a *service* organization and its mission is to provide support to command. It does so only through continuous contact with customers — at all levels. The smoothness of these contacts will determine in no small measure not only the "image" of the Public Works Department, but also the success and responsiveness which your department is able to maintain. A few suggestions which have been developed through past experience is offered below:

A. The Trouble Desk. As soon as you get to your new station, and before you are known, call your Emergency/Service desk with a hypothetical problem, preferably an illegal minor construction problem which if approved would take serveral man days to accomplish. See what type of response or turn down you get. Were you satisfied or frustrated as a customer? Your work receptionist should be, first and foremost, a *receptionist* with all the receptionist's friendliness, courteousness, and tact. If you prefer a more subtle approach, sit down with him/her and ask her to explain her role, and biggest problems to you.

B. The Transportation Dispatcher. Try and observe how personnel in the dispatch office treat customers. They should have the same measure of courtesy as the work receptionist.

C. Housing Administration. This is the area that can either make or break the image of a Public Works Department. People who will put up with considerable inconvenience in their office will not stand for it in their homes. The key to success in housing administration lies in letting the tenant know what his responsibilities are, and what yours are, and scrupulously assuring that both are carried out at all times. In the matter of assignment, publish the rules *and* the waiting list so that anyone can see where he stands at any time. Make sure that a tenant moves into a clean, well maintained set of quarters, and have your housing manager personally welcome the new tenant to his quarters, explain services available, responsibilities, and make a punch list of items for correction with the tenant. In the case of other department heads or superiors, the PWO should personally accompany his housing manager to welcome the tenant to his quarters. Make sure that service calls generated by tenants of housing are promptly accomplished — even if it means paying some overtime. Have service personnel leave cards with their names on it when making service calls. Establish a "do-it-yourself" program for improvement and supply necessary tools, materials and guidance to assure uniform standards of accomplishment. Supply plants and flowers to the tenants which they can plant, and have a "yard of the month" contest. Let tenants know well in advance of any work which will pose an inconvenience or nuisance to them. In short, do everything a good private landlord would do, and more. Your life will be considerably easier, and cocktail parties much more enjoyable for it.

APPENDIX A
PUBLIC WORKS MANAGEMENT CONTROL INDICES

Budget and Finance

Total Expenditures Last FY	
Control Figure This FY	
Plan to-date This FY	
Actual Expenditures-to-date This FY	
Next FY Control Figure	
Current Plant Value This FY	
Current Plant Value Last FY	

Personnel (Civilian)

	Actual FY___	Actual FY___
Manpower (on-board 1 October)		
Manpower (ceiling 1 October)		
Labor Turnover (%)		
Number of Grievances		
Average age of shop workforce		
Sick leave statistics (%)		
*Overtime (M/H)		
Average hourly rate (wage board)		
Average hourly rate (general schedule)		

Engineering

	Actual FY___	Actual FY___
Division Tasks (any type) on-hand over three months		
Dollar value of unfunded major repair projects (30 September)		
$Value of unfunded minor construction projects (30 September)		
Number of division tasks on-hand, not in process		

Maintenance Control

	Actual FY___	Actual FY___	Target
Work generated by Continuous Inspection (%)			65
EPS Utilization (%)			
Preventive Maintenance Inspection (%)			1.5-3.0
Standing Job Orders (%)			20-30
Amount of Controlled Work (%)			80-85
BMAR (dollars)			
Contract vs in-house (dollars)			
Number of items on-hand, not in process (work requests, inspection reports)			

Maintenance

	Actual FY___	Actual FY___	Target
Division Overhead (%)			28-32
Shop forces backlog (months)			6 mos ± 25%
*E/S average time per work authorization			
*E/S average response time			
E/S work (%)			7.5-11.5

(% of standard)			not > 110%
Maintenance shop productivity			not < 100%
Average vehicle repair turn around time (hours)			
Vehicle utilization (%)			not < 90%
Inventory			
Indirect to direct maintenance manhours (%)			not > 43%

standard
actual

UTILITIES	COST Budget $000	COST Actual $000	CONSUMPTION Baseline	CONSUMPTION Actual
HEAT				
.75 to 3.5 MBTU/hr			MBTU	MBTU
over 3.5 MBTU/hr			MBTU	MBTU
ELECTRICITY			MWH	MWH
POTABLE WATER			KGAL	KGAL
NON-POTABLE WATER			KGAL	KGAL
SEWAGE			KGAL	KGAL
AIR CONDITIONING				
5-25 tons			TONS	TONS
25-100 tons			TONS	TONS
over 100 tons			TONS	TONS
GAS			MBTU	MBTU
PNEUMATIC POWER			MCUFT	MCUFT
OTHER				

For all utilities services, plot local demand and
available
capacity vs time on separate sheets.

Housing	Actual FY____	Actual FY____	Target
Number of Occupant Complaints			
Housing Occupancy rates by housing type (%)			
Wherry Housing (%)			99
Public Quarters, built before FY 50 (%)			99
Public Quarters, built between FY 50 and FY 69 (%)			99
Public Quarters, built after FY 70 (%)			99
Leased Housing (%)			99
Substandard Housing (%)			95
Number & Cost of E/S Calls			

	COST Plan	COST Actual	CONSUMPTION Plan	CONSUMPTION Actual
Expenditures				
Utilities				
Electricity				
Fuel				
Total Operations				
Alterations & Additions				
Total Maintenance				
Cost vs Income on Inadequate quarters				

Total Departmental Overhead (%) (30 September)

*Note:

1. M/H = Manhours
2. E/S = Emergency/Service
3. BMAR = Backlog of Maintenance and Repair
4. Total Departmental Overhead = (Administrative + Engineering + Maintenance Control + Housing

   (Maintenance + Utilities + Transportation) x 100
5. Information should be provided Public Works Officer in graphical form, where possible, on a monthly or quarterly basis, as appropriate.

APPENDIX B
ABBREVIATIONS/ACRONYMS

ABFC	Advanced Base Functional Component
ACBD	Active Commission Base Date
ACE	Activity Civil Engineer
ACTY	Activity
ADP	Automatic Data Processing
A/E	Architect/Engineer
AEL	Allowance Equipment List
AICUZ	Air Installation Compatible Use Zone
AIS	Annual Inspection Summary
ALO	Activity Liaison Officer
APA	Appropriation Purchases Account
APL	Allowance Parts List
APWO	Assistant Public Works Officer
ARB	Appeals Review Board
AROICC	Assistant Resident Officer in Charge of Construction
ASBCA	Armed Services Board of Constract Appeals
ASD(I&L)	Assistant Secretary of Defense (Installation & Logistics)
ASESB	Armed Service Explosive Safety Board
ASN	Assistant Secretary of the Navy
ASPR	Armed Services Procurement Regulation
AYC	At Your Convenience
BAR	Board of Appeals and Review
BAQ	Basic Allowance for Quarters
BASPOP	Base Population
BEQ	Bachelor Enlisted Quarters
BESEP	Base Electronics System Engineering Plan
BFRL	Basic Facility Requirements List (OPNAV Form 11000-1)
BMAR	Backlog of Maintenance & Repair
BOD	Beneficial Occupancy Date
BOQ	Bachelor Officers Quarters
BPA	Blanket Purchase Agreement
BSA	Basic Stock Allowance
BUMED	Bureau of Medicine and Surgery
BUPERS	Bureau of Naval Personnel
CANS	Cost Account Numbers
CBU	Construction Battalion Unit
CDO	Command Duty Officer
CEC	Civil Engineer Corps
CECOS	Civil Engineer Corps Officers School
CEIS	Candidate Environmental Impact Statement
CEL	Civil Engineering Laboratory
CEQ	Council on Environmental Quality
CESE	Civil Engineering Support Equipment
CF	Cubic Feet
CFM	Contractor Furnished Material
CHIL	Consolidated Hazardous Item List
CHNAVMAT	Chief of Naval Material
CINCLANTFLT	Commander in Chief, U.S. Atlantic Fleet
CINCPACFLT	Commander in Chief, U.S. Pacific Fleet
CIV-M-MARP	Civilian Mobilization Manpower Allocation/Requirements Plan
CMC	Commandant of the Marine Corps
CMMI	Civilian Manpower Management Instruction
CNET	Chief of Naval Education and Training
CNM	Chief of Naval Material
CNO	Chief of Naval Operations
CNOBO	Chief of Naval Operations Budget Office
CO	Commanding Officer
COMNAV-AIRPAC	Commander Naval Air Force, Pacific Fleet
COMSURF-LANT	Commander Surface Force, Atlantic Fleet
CBU	Construction Battalion Unit
CONUS	Continental United States
COPARS	Contractor Operated Parts Store

CPRV	Current Plant Replacement Value
CQC	Construction Quality Control
CSC	Civil Service Commission
CWE	Current Working Estimate
CY	Current Year or Cubic Yard
CZM	Coastal Zone Management
DASD(FH)	Deputy Assistant Secretary of Defense for Family Housing
DCAS	Defense Contract Administration Service
DCE	District Civil Engineering
DD	Distribution Depot or Department of Defense (used on forms)
DLA	Defense Logistics Agency
DNFYP	Department of the Navy Five-Year Program
DOD	Department of Defense
DPC	Defense Procurement Circular
DSAM	Defense Supply Agency Manual
DSC	Defense Supply Center
EA	Engineering Analysis of Economic Analysis
EE	Engineering Evaluation of Existing Assets
EEO	Equal Employment Opportunity
EEOO	Equal Employment Opportunity Office
EFD	Engineering Field Division
EIA	Environmental Impact Assessment
EIS	Environmental Impact Statement
EOB	Expense Operating Budget
EPA	Environmental Protection Agency
EPS	Engineered Performance Standards
E/S	Emergency/Service
ESR	Engineering Service Request
FAC	Functional Activity Code
FACSO	Facilities Systems Office
FAD	Force Activity Designator
FEAA	Federal Employees Appeals Authority
FHMA	Family Housing Management Account
FIIN	Federal Item Identification Number
FMSO	Fleet Material Support Office
FPM	Federal Personnel Manual
FY	Fiscal Year
FYDP	Five Year Defense Program
GDM	General Development Map
GE	Government Estimate
GFE	Government Furnished Equipment
GFM	Government Furnished Material
GS	General Schedule
GSA	General Services Administration
GVW	Gross Vehicle Weight
HE	High Explosive
HERO	Hazard of Electromagnetic Radiation or Ordnance
HMC	Housing Management Center
IBOP	International Balance of Payments (Gold Flow)
IC	Investment Category
ICP	Inventory Control Point
IFB	Invitation for Bid
IPD	Issue of Priority Designator
IPE	Industrial Production Equipment
IRO	Industrial Relations Office
IRV	Item Rating Value
ISSA	Inter-Service Support Agreement or Intra-Service Support Agreement
JAG	Judge Advocate General
JCS	Joint Chiefs of Staff
KWH	Kilowatt Hour
LSNP	Logistic Support Mobilization Plan
LF	Linear Feet
LMC	Level of Maintenance Classification Code
LRMP	Long Range Maintenance Plan
LSR	Logistics Support Requirements
LWOP	Leave Without Pay
MAC	Method of Accomplishment Code
MC/A	Minor Construction and Alteration
MCD	Maintenance Control Division
MCON	Military Construction, Navy
MCNR	Military Construction, Naval Reserve
MCR	Maintenance Cost Report
MDD	Maintenance Division Director
MHE	Materials Handling Equipment
MIC	Management Information Center

MILCON	Military Construction
MILCON PO	Military Construction Program Objectives
MOBCON	Mobilization Construction Plan
MOQ	Married Officers Quarters
MP(N)	Military Personnel, Navy
M&R	Maintenance and Repair
M/S	Maintenance Service
MSC	Military Sealift Command
MT	Measurement Ton - 40CF
MUSE	Mobile Utilities Support Equipment
NA	Network Analysis
NARF	Naval Air Rework Facility
NATRABRN	Naval Air Training Branch
NAVAIR-SYSCOM	Naval Air Systems Command
NAVCOMPT	Navy Comptroller
NAVELEC-SYSCOM	Naval Electronics Systems Command
NAVFAC-ENGCOM	Naval Facilities Engineering Command
NAVRESO	Naval Resale System Office
NAVSEA-SYSCOM	Naval Sea Systems Command
NAVSEEACT	Naval Shore Electronics Engineering Activity
NAVSUP-SYSCOM	Naval Supply Systems Command
NCBC	Naval Construction Battalion Center
NEPA	National Environmental Policy Act
NEPSS	Navy Environmental Protection Support System
NESO	Naval Environmental Support Office
NFA	Navy Facility Assets
NIF	Navy Industrial Fund
NMCRB	Navy Military Construction Review Board
NOA	Obligational Authority, New
NOMIS	Naval Ordnance Management Information System
NPDES	National Pollutant Discharge Elimination System
NRSO	Navy Resale Systems Office
NSA	Navy Stock Account
NSC	Naval Supply Center
NSD	Naval Supply Depot
NSF	Navy Stock Fund
NSSO	Navy Ships Store Office (obsolete - see NAVRESO)
NTP	Notice to Proceed
NTE	Not to Exceed
OBE	Overtaken by Events
OCP	Office of Civilian Personnel
OIC	Officer in Charge
OICC	Officer in Charge of Construction
OJT	On-the-Job Training
OMB	Office of Management & Budget
O&MN	Operations and Maintenance, Navy
OOD	Officer of the Day
OPLAN	Operations Plan
OPNAV	Office of the Chief of Naval Operations
OSD	Office of the Secretary of Defense
OSHA	Occupational Safety and Health Act
PAPS	Projected Aviation Program Summary
PCE	Program Cost Estimate
PD	Position Description
P&E	Planning and Estimating
PERT	Program Evaluation Review Technique
PMI	Preventive Maintenance Inspection
POL	Petroleum Oil and Lubricants
POP	Population
PRE-M-DAY	Pre-Mobilization Day; Peacetime Conditions
PSF	Personnel Support Facilities
PSM	Please See Me
PWC	Public Works Center
PWD	Public Works Department
PWLA	Public Works Lead Activity
PWO	Public Works Officer
PWRS	Prepositioned War Reserve Stock
QSI	Quality (Performance) Step Increase
RATCC	Radar Air Traffice Control Center
RCP	Request for Contractual Procurement
RDT&E	Research, Development, Test, and Evaluation
REHAB	Rehabilitation

SCE	Supervisory Civil Engineer/Staff Civil Engineer
SECDEF	Secretary of Defense
SECNAV	Secretary of the Navy
SERVMART	Supply Service Market
SF	Square Feet
SFPS	Shore Facilities Planning System
SIC	Superior in Command
SIOH	Supervision, Inspection, and Overhaul
SNDL	Standard Navy Distribution List
SPCC	Ships Part Control Center/Spill Prevention Control & Counter-Measure
SRMP	Short Range Maintenance Plan
SRO	Shop Repair Order
TCR	Transportation Cost Report
TEMC	Transportation Equipment Management Center
TOPO	Topography
UCAR	Utilities Cost Analysis Report
UCD	Useable Completion Date
UDD	Utilities Division Director
UE	Unit Expenditure
UFD	Unfunded Facility Deficiency
UIC	Unit Identification Code
UMMIPS	Uniform Material Movement and Issue Priority System
UND	Urgency of Need Designator
VE	Value Engineering
V/R	Very Respectfully
XO	Executive Officer